Local Government Staff Commission For Northern Ireland

Human Resource Standards

Model Answers

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Northern Ireland Local Government Human Resource Standards

Overarching Human Resource Standards

Indicator 1 - Corporate Aims and Culture

ESTABLISH/LEVEL 1	ASSESSED BY
There is corporate agreement of a vision, objectives, values, aims and priorities for the organisation.	A written document setting out vision, objectives, values and priorities for the organisation that has been agreed by senior management and elected members.

Self Assessment Questions

Does your organisation have a document(s) that sets out an agreed vision, objectives, values, aims and priorities for the organisation? ☐ Yes ☐ No

If yes, which document(s)?

Model Documentary Evidence
Corporate Plan or other Strategic or Business Plan(s).

Should contain statement(s) on vision, objectives, values, aims and priorities (but does not have to use these terms).

Model Interview Evidence
Interview confirmation by senior managers and elected members of the vision, objectives, values aims and priorities. Confirmation should be at a general level, that the document(s) has been discussed and agreed. These interviewees should be able to discuss items within these documents, current difficulties and progress. There is no requirement for any interviewee to be able to remember the contents.

IMPROVEMENT REQUIRED ☐ Yes   ☐ No
If Yes see Improvement Plan at end of Indicator 1 on Page 8

Indicator 1 - Corporate Aims and Culture

STRENGTHEN/LEVEL 2	ASSESSED BY
The vision, aims and values are communicated to employees. The vision, aims and values have been formulated so that employees can see how they can contribute to achievement.	Interview responses from employees confirming that they have been informed of the organisation's aims, vision and values and can describe their role in achieving them.

Self Assessment Questions

How have the vision, aims and values been communicated to employees in a way that is relevant to them?

Model Documentary Evidence
Internet / intranet entry
Team Briefing Note(s)
Seminar programme

Model Interview Evidence
Employees in a range of jobs, locations and departments confirm that they have been briefed on the vision, aims and values (at least 80% of those interviewed).

How can you demonstrate that employees understand how they contribute to the achievement of the vision, aims and values?

Model Documentary Evidence
Specific question in a staff attitude survey confirming understanding.
Programme content or written output from seminars or other programmes where these issues have been discussed along with records of attendance.

Model Interview Evidence
At least 80% of staff are able to discuss the vision, aims and values at a level appropriate to their role.
At least 80% of staff have a broad understanding of how their job / section / department contributes to the vision, aims and values.

IMPROVEMENT REQUIRED ☐ Yes ☐ No 4
If Yes see Improvement Plan at end of Indicator 1 on Page 8

Indicator 1 - Corporate Aims and Culture

STRATEGIC INTEGRATION/LEVEL 3	ASSESSED BY
There is a link between individuals' work activities and targets and the corporate aims, vision and values.	Managers can describe the link between strategic, business and operational plans at organisation and departmental/service level.
Employees share the vision, aims and values and demonstrate them in their work.	Staff at all levels can discuss activities that they undertake in order to achieve the vision, aims and values.
Management and staff confirm and describe organisational structures that are responsive to change.	Management and staff can give examples of changes to the structures and working practices arising from difficulties or challenges in meeting the aims, vision and values or from the external environment and confirm that these changes are typical of the organisation's approach.

Self Assessment Questions

What evidence is there that staff understand the link between their work activities and targets and the organisation's corporate aims, vision and values?

Model Documentary Evidence
Answers to specific questions in the Staff Attitude survey confirming
Appraisal documents
External assessment evidence such as Investors in People or EFQM Report
Best Value evidence

Model Interview Evidence
At least 80% of staff interviewed are able to describe the link between their work activities and the associated quality standards or deadlines of their work and the Council's aims, vision and values

IMPROVEMENT REQUIRED   ☐ Yes   ☐ No
If Yes see Improvement Plan at end of Indicator 1 on Page 8

How do employees demonstrate the organisation's vision, aims and values in their work?

Model Documentary Evidence
Specific questions in service user surveys confirming that a majority of staff demonstrate the Council's vision, aims and values in their work.

Model Interview Evidence
At least 80% of staff from all jobs, locations and departments can give two or more examples of actions they take or have taken that reflect the Council's aims, vision and values.

Please give examples of changing organisational structures in response to internal or external challenges (for example economic, legislative, political and environmental, etc)?

Model Documentary Evidence
Before and after organisation charts.
Report with recommendations on organisational change where the reasons for the change clearly arise from the Council seeking to change in order to meet new pressures or demands.

Model Interview Evidence
Managers and senior managers describe the reasons for changing organisational structures in response to changing circumstances or service demands.
Consistency in the answers given by managers and senior managers in the reasons for changing organisational structures.

IMPROVEMENT REQUIRED ☐ Yes ☐ No   6
If Yes see Improvement Plan at end of Indicator 1 on Page 8

Indicator 1 - Corporate Aims and Culture

EVIDENCED BY THE FOLLOWING

OUTCOME MEASURES	ASSESSED BY
The organisation can demonstrate improved services in a way that can be linked directly to their aims, vision and values.	Documentary evidence supported by examples from senior managers of service improvements across all departments and most services as a result of adopting the vision, aims and values.

Self Assessment Questions

What measurements and evidence does your organisation have of improved services that can be linked directly to its aims, vision and values?

Model Documentary Evidence
Review of Corporate / Business / Strategic Plan.
More challenging goals and targets being set in succeeding years plans.
Service User Attitude survey information, confirming a majority of service users perceive the Council is meeting its aims, vision and values.
Section 75 Reviews confirming at least 80% of consultees perceive the Council is meeting its aims, vision and values.

Model Interview Evidence
More than 80% of managers and all senior managers can give examples of service improvements and link these to the aims, vision and values adopted by the Council.

IMPROVEMENT REQUIRED ☐ **Yes**   ☐ **No**   7
If Yes see Improvement Plan at end of Indicator 1 on Page 8

Model Report: Indicator I – Corporate Aims and Culture
Level Achieved: 1   Operating at Level: 2

- New City Council has a Corporate Plan that defines the vision, objectives, values, aims and priorities for the next three years. This Plan is updated annually.

- The development process involves, consultation with unit heads, drafting by a strategic management team comprising all department heads and some other managers.

- Other staff are involved in discussions at unit level. Interview evidence from both staff and managers indicates that in some departments all staff are involved in discussions and in others only managers take part.

- Approximately 40% of the workforce are involved in these discussions.

- The Corporate Plan is discussed by the full Council at least twice, at the start and end of the development process.   The Plan is approved by them usually in March of each year.

- Elected Members report that they influence the broad direction of the Plan and may be able to change some details but are not involved at all in the development process.

- The final Plan is communicated to staff at a series of Team Briefing meetings. In addition, the Chief Executive makes a presentation to staff and a summary of the Plan is circulated to all staff with their pay.

- Reports from interview indicate that approximately 60% of staff feel they can trace their duties and responsibilities back to the aims and objectives of the Corporate Plan.

- Most other staff feel that there is only a general connection between what they do and the Corporate Plan. A small number see the Plan as having no connection with their work.

Improvement Plan Indicator 1 Corporate Aims and Culture

Objective:
To integrate the vision, values, aims and objectives from the Corporate Plan into the work activities of all employees.

Actions / Initiatives
1. Ensure that Team Briefing occurs for all staff on a monthly / two monthly basis
2. Involve all staff in the review and planning process for the Unit Plan
3. Review appraisal documentation and include a clear link between individual objectives and the Corporate Plan

People Responsible and Resources Needed
Team Briefing: All department heads are responsible that all employees in their departments receive a team briefing.
Involvement in Unit Plans: Heads of Technical Services and Leisure Services
Appraisal documentation: Head of Human Resources
No additional resources needed

Reporting Arrangements and Timescale
Chief Executive will review implementation of all three at the senior management team meeting in January _____.

Indicator 2 - Internal Communications

ESTABLISH/LEVEL 1	ASSESSED BY
The organisation complies with statutory requirements for information and consultation, for example in Redundancy, Freedom of Information, Section 75 and Data Protection.	Policies, procedures and other written records that confirm the supplying of information and that consultation has been undertaken in respect of Redundancy (if relevant), Freedom of Information, Section 75 and Data Protection.

Self Assessment Questions

What actions does your organisation undertake to ensure compliance with statutory requirements for information and consultation, for example in Redundancy, Freedom of Information, Section 75, Data Protection and the Information & Consultation Regulations?

Model Documentary Evidence
Redundancy, Freedom of Information, Section 75, Data Protection and Information & Consultation policies.
Documentary records of action taken under those policies, for example minutes from a policy consultation meeting.
Report(s) from regulatory bodies confirming that Council policies meet statutory requirements.

Model Interview Evidence
HR professionals or others are able to describe the main statutory requirements of those policies and how their policies comply with those requirements.
Confirmation of use of (and tailoring of) best practice sample policies from regulatory bodies.

IMPROVEMENT REQUIRED ☐ **Yes** ☐ **No**   9
If Yes see Improvement Plan at end of Indicator 2 on Page 15

Indicator 2 - Internal Communications

STRENGTHEN/LEVEL 2	ASSESSED BY
There is a defined strategy/plan for internal communication that has defined targets and been implemented and reviewed.

Managers are supported to communicate effectively, for example through relevant training, the provision of team briefing materials and/or mentoring support from senior managers.

Records are maintained that give managers access to statistics and trend information on the full range of Human Resource issues.

Opportunities exist for views of service users to be taken into account. | Organisation strategy/plan for internal communication that has measurable targets with evidence that action has been taken to meet these targets, target achievement has been measured and that there has been a review of this strategy/plan and targets.

Training/coaching/mentoring of communication skills for managers who have staff reporting to them. A communications procedure and confirmation from managers that they have received appropriate training or support.

Statistical records and trend information is available. At interview managers confirm that they routinely have access to this information and can discuss current trends and their implications. A means of consulting service users exists and is used at least annually. Senior managers can give examples of changes to services arising from service users' comments. |

Self Assessment Questions

Is there a defined strategy/plan for internal communication that has defined targets and been implemented and reviewed? ☐ Yes   ☐ No

If yes, where can this information be found?

Model Documentary Evidence
Community Strategy that includes defined targets.
Records of review and changes to communication strategy along with evidence that targets have been met.

Model Interview Evidence
HR Professionals and / or other managers describe how the strategy has been reviewed and amended.

How are managers supported to communicate effectively (for example, through relevant training, the provision of team briefing materials and/or mentoring support from senior managers)?

Model Documentary Evidence
Team Briefing records
Mentoring scheme and associated records, managers' appraisal records
Training programme including hand out materials

Model Interview Evidence
At least 80% of managers interviewed describe and confirm an effective process of support from senior managers.

IMPROVEMENT REQUIRED   ☐ Yes   ☐ No   10
If Yes see Improvement Plan at end of Indicator 2 on Page 15

What management information is provided by the HR department to managers to assist them in meeting their objectives (for example, statistics and trend information on absenteeism, completion of appraisals, staff satisfaction data, spend on training plans, discipline, grievance and harassment)? N.B. Consider what information is given to senior, supervisory and line management.

Model Documentary Evidence
Records of absenteeism, discipline, grievance and harassment.
Records of Performance Appraisal completion and analysis.
Costed Training Plan.
Minutes of meetings where these items have been discussed (for example Council meetings, with trade union representatives).
Business Improvement Plan analysis.

Model Interview Evidence
At least 80% of managers are able to discuss human resource related trend information and the action they (or others) have or are taking as a result.

How is this information provided to managers?

Model Documentary Evidence
Internet / intranet page
Records of managers' appraisals
Team meeting / briefing minutes

Model Interview Evidence
At least 80% of managers can describe how they have / could get access to this information and these answers are consistent with documentary evidence.

How are the views of service users gathered and responded to?

Model Documentary Evidence
Records of surveys or meetings with service users (both internal and external)
Written responses to service user views

Model Interview Evidence
At least 80% of managers can describe a process of gathering the views of service users and responding to them. There should be consistency in the responses of managers and / or supporting documentary evidence.

IMPROVEMENT REQUIRED   ☐ Yes   ☐ No   11
If Yes see Improvement Plan at end of Indicator 2 on Page 15

Indicator 2 - Internal Communications

STRATEGIC INTEGRATION/LEVEL 3	ASSESSED BY
Departments/services communicate effectively with each other through for example, joint projects and formal communication events. Employees are satisfied with the amount, timeliness and quality of communication from more senior management. Employees report that communications are two way and their views and suggestions are taken seriously and responded to.	Documentary evidence of interdepartmental working and communication over a period of at least one year and involving all departments. Interview responses from employees confirm satisfaction with the amount and timeliness of communication from senior management and that their views are asked for and listened to.

Self Assessment Questions

How do departments/services communicate with each other (for example, through joint projects, formal communication events)?

Model Documentary Evidence
Team Briefing records or records of cross departmental communication events.
Documentary evidence from Business Improvement Teams (or other cross departmental working teams).
Records of cross departmental issues being reflected in plans and objectives.

Model Interview Evidence
At least 50% of staff can describe having taken part in a cross departmental initiative / working group.
At least one member of staff from all departments (apart from department head) can describe a cross departmental initiative that had an impact on the work of their own department.

What mechanisms are used to measure the effectiveness of these interdepartmental communications?

Model Documentary Evidence
The majority of staff answer positively to specific questions in staff attitude surveys about interdepartmental activities.
Records of the working of a number of interdepartmental working groups.

Model Interview Evidence
At least 80% of members of interdepartmental working groups report a positive outcome and / or measurable improvement from the working of their group.

IMPROVEMENT REQUIRED ☐ Yes ☐ No   12
If Yes see Improvement Plan at end of Indicator 2 on Page 15

What evidence is there that employees are satisfied with the amount, timeliness and quality of communication received from more senior management?

Model Documentary Evidence
At least 60% of positive answers to specific questions in staff attitude surveys on the effectiveness and / or timeliness and quality of communication from more senior management.

Model Interview Evidence
At least 80% of staff interviewed from all jobs, departments and locations report satisfaction with the timeliness and quality of communications from senior management.

Are communications with employees two way? ☐ Yes ☐ No

What evidence does your organisation have that employees' views and suggestions are taken seriously and responded to?

Model Documentary Evidence
Records of feedback from staff during Team Briefings and of responses to those comments
At least 60% of staff answer positively to specific questions in staff attitude surveys on how well they feel their views and comments are listened to.

Model Interview Evidence
At least 80% of staff at interview confirm that their views, comments and concerns are sought, listened to and responded to.

IMPROVEMENT REQUIRED ☐ Yes ☐ No   13
If Yes see Improvement Plan at end of Indicator 2 on Page 15

Indicator 2 - Internal Communications

EVIDENCED BY THE FOLLOWING

OUTCOME MEASURES	ASSESSED BY
Management review and report on statistical information in relation to employee relations, equality and learning and development at least annually.	Records of review and examples of changes made that can be directly attributed to this review in employee relations, equality and learning and development.

Self Assessment Questions

As a department, what reviews and reports do management undertake on statistical information in relation to employee relations, equality and learning and development?

Model Documentary Evidence
Reports to Council or other individuals and / or bodies on reviews of employee relations, equality and learning and development including trend and statistical information.

Model Interview Evidence
HR professionals and / or relevant managers are able to describe the reviews that the Council have undertaken in respect of employee relations, equality and learning and development.

How frequently do these reviews occur?

Model Documentary Evidence
Last three of each relevant report / review.

Model Interview Evidence
HR professional and / or relevant managers describe the timetable of review consistent with documentary evidence.

IMPROVEMENT REQUIRED   ☐ Yes   ☐ No
If Yes see Improvement Plan at end of Indicator 2 on Page 15

Model Report: Indicator 2 – Internal Communications
Level Achieved: 1   Operating at Level: 2

- There are a number of policies and procedures covering the main statutory requirements for communication. These include, Section 75, Data Protection, Freedom of Information and Redundancy policies and procedures.

- Minutes of meetings and evidence of consultation with trade union representatives confirm that these procedures are complied with particularly when a specific issue arises. Section 75 consultations on policies have been a particular feature of operations in recent years.

- Virtually all employees interviewed feel that on major or statutory issues communication is good but most feel that there is less commitment to communicate where there is no statutory requirement.

- Approximately 50% of employees do not have a regular team briefing. Most part time employees feel that they are not included in communications.

- Approximately 60% of managers report having received training and / or support to carry out team briefings. The Team Briefing process operates very differently in different part of New City Council. Larger departments and those with a large number of casual or part time staff seem to have the greatest difficulties communicating with staff.

- A Communications Group has been formed recently and has made recommendations for improvements to the communication processes at team and individual levels these have been implemented but they have not yet had an impact on the Council.

Improvement Plan Indicator 2 Internal Communications

Objective:
To develop an integrated communication process that involves all staff.

Actions / Initiatives
1. Review the problems in operating the Team Briefing process in all units and departments and develop alternative approaches.
2. Ensure the Team Briefing occurs for all staff on a monthly / two monthly basis.
3. Develop training and support programmes for all managers in communication.

People Responsible and Resources Needed
Team Briefing: Communications Group to investigate and make recommendations. All department heads are responsible that all employees in their own departments receive a team briefing.
Training and support: Head of Human Resources
No additional resources needed.

Reporting Arrangements and Timescale
Communications Group to report to senior management team in three months.
Head of Human Resources will submit a bid and business case for training in communications to the Chief Executive in December _____.
Chief Executive will review implementation of team briefing and training at senior management team meeting in January _____.

Indicator 3 – Performance Management

ESTABLISH/LEVEL 1	ASSESSED BY
All employees key responsibilities are defined through for example, job descriptions for every post. Staff are aware of their roles and responsibilities.	Job descriptions / Grade descriptions or other document for every post with key responsibilities clearly defined.

Self Assessment Question

Are the key responsibilities of all employees defined (through for example, job descriptions) for every post? ☐ Yes ☐ No

Are new recruits inducted into their roles and responsibilities? ☐ Yes ☐ No

STRENGTHEN/LEVEL 2	ASSESSED BY
Key output areas and individual objectives are discussed and agreed with the employees at least once per year. These are clearly linked to service and corporate plans. Employee performance against key output areas and objectives is appraised at least once per year and development needs identified and met. The development needs of those with responsibility for carrying out performance reviews are identified and met both in respect of carrying out the reviews and in supporting employees' development.	A consistent process of performance review that includes employees from all departments and is confirmed in documentary and interview evidence. Employees confirm that targets are set and are able to describe how these relate to service and corporate plans. Those with responsibility for appraising the performance of other staff confirm that that they have received appropriate training and/or support in how to carry out that role.

Self Assessment Questions

Are key output areas and individual objectives discussed and agreed with all the employees at least once per year? ☐ Fully ☐ Partially ☐ No
If partially, what percentage are completed: 80%
Are these key output areas clearly linked to service and corporate plans?
☐ Fully ☐ Partially ☐ No
If partially, what percentage are completed: 80%
Is there an employee performance review process (for all employees) where key output areas and objectives are appraised at least once per year and development needs identified and met?
☐ Fully ☐ Partially ☐ No
If partially, what percentage are completed: 80%
Are the development needs of those with responsibility for carrying out performance reviews identified and met both in respect of carrying out the reviews and in supporting employees'
development? ☐ Fully ☐ Partially ☐ No   If fully or partially, how is this done?

Model Documentary Evidence Training programme content and hand out materials. Details of formal support and mentoring process for new managers, in particular with respect to performance management. **Model Interview Evidence** At least 80% of managers interviewed confirm satisfactory support if needed.

IMPROVEMENT REQUIRED ☐ Yes ☐ No   16
If Yes see Improvement Plan at end of Indicator 3 on Page 19

Indicator 3 – Performance Management

STRATEGIC INTEGRATION/LEVEL 3	ASSESSED BY
There is coherence and a clear link between objectives, goals and targets at organisational, team/department/service and individual levels. There is strategic integration, measurement and evaluation of performance measures/initiatives.	Documentary evidence of the link between objectives, goals and targets at all the levels. Managers throughout the organisation are able to discuss this link as it relates to their department and service.

Self Assessment Questions

What evidence is there of the clarity and coherence of the link between objectives, goals and targets at Organisational level, Team/ Department/ Service level and Individual level?

Model Documentary Evidence
Plans at Council and Departmental / Unit levels. Appraisal / performance management documents. It should be possible to track at least 5 aims / objectives from Council Plans to the performance management objectives of at least 10 staff (i e, two staff for each objective).

Model Interview Evidence
At least 80% of staff interviewed from all jobs, departments and locations can describe the link between their personal goals and targets and Council objectives and aims.

What evidence is there that the measurement and evaluation of performance measures / initiatives is clear and appropriate?

Model Documentary Evidence
A written description of the target, means of measurement and reporting arrangements for at least 80% of Council objectives / aims in the Corporate / Strategic / Business Plan.

Model Interview Evidence
At least 80% of staff interviewed from all jobs, departments and locations can describe how service level objectives are measured and the current / recent level of performance.

IMPROVEMENT REQUIRED   ☐ Yes   ☐ No   17
If Yes see Improvement Plan at end of Indicator 3 on Page 19

Indicator 3 – Performance Management

EVIDENCED BY THE FOLLOWING

OUTCOME MEASURES	ASSESSED BY
The organisation can demonstrate that corporate/strategic team/service and individual objectives are being consistently met.	Documentary evidence of target achievement across all departments and services. At interview, employees are able to discuss how individual and team targets are being met.
The organisation can demonstrate that measures and objectives set at organisational, team/service and individual level are relevant and add value.	Senior management are able to describe service improvements and increased service user satisfaction levels that link to targets and objectives previously set.

Self Assessment Questions

What evidence is there that objectives are being met at Corporate/Strategic level, Team/Service level and Individual level?

Model Documentary Evidence
Review of Council Corporate / Strategic Plans showing at least 60% target achievement.
Reports to senior management / Council on progress on plan implementation and achievement.

Model Interview Evidence
Managers and senior managers are able to discuss service level achievements and problems and how these link to current and previous goals and targets.

Give examples of changes or improvements to your Performance Management System that have added value to the process?

Model Documentary Evidence
Review of performance management system and recommendations for change and current system with improvements included.

Model Interview Evidence
Managers can discuss why the performance management system was changed and the positive impact of these changes. Answers should be consistent from managers from different parts of the organisation. Changes should have occurred within the last five years.

IMPROVEMENT REQUIRED   ☐ Yes   ☐ No
If Yes see Improvement Plan at end of Indicator 3 on Page 19

Model Report: Indicator 3 – Performance Management
Level Achieved: O   Operating at Level: 1

- New City Council has Job Descriptions for most posts. These are reviewed whenever a post becomes vacant.

- It is clear from interview evidence that a significant number of staff feel that their Job Description does not reflect the work they currently do.

- The staff appraisal scheme operated by New City Council intends to link individual objectives to corporate, unit and departmental objectives.

- A significant number of staff are unable to trace this link and in many cases there is no written evidence that an appraisal has occurred.

- Virtually all staff report that the appraisal process is useful in reviewing their performance and identifying their development needs. However, few see any link between what they agree at appraisal and unit, departmental and corporate aims and objectives.

- All managers have received training in how to carry out an appraisal interview and all those interviewed report that this has been an effective and beneficial programme.

Improvement Plan Indicator 3 Performance Management

Objective:
To develop the performance management / appraisal process so that it links more clearly with corporate, departmental and unit plans.

Actions / Initiatives
1. Review Job Descriptions and update in line with current job role as part of the appraisal process.
2. Review the appraisal documentation to ensure a clearer link with Council, department and unit aims and objectives and to include a forward job plan section.

People Responsible and Resources Needed
Head of Human Resources is responsible for the initial review of job descriptions and appraisal documentation.
All line managers are responsible for reviewing the Job Description of each of the staff at the next appraisal meeting.
Member of HR staff to be assigned to carry out review for one month relieved of other duties.

Reporting Arrangements and Timescale
Head of Human Resources will submit the new appraisal documentation and updated Job Descriptions to the Chief Executive in January _____
Line Managers will submit all forward job plans to the Head of Human Resources by June _____

Indicator 4 – HR Unit Performance Capacity

ESTABLISH/LEVEL 1	ASSESSED BY
The HR Unit has a departmental plan linked to the corporate plan.	A Human Resource (HR) plan that includes objectives and targets in employee relations, recruitment, equality and learning and development. Human Resource (HR) professionals must confirm and be able to describe the link between the HR plan and the corporate plan.

Self Assessment Questions

Has the HR Unit a departmental plan linked to the corporate plan? ☐ Yes ☐ No

If yes, in which document(s)?

Model Documentary Evidence
HR Unit Plan – must have demonstrable link to the Council Corporate / Strategic / Business Plan.

Model Interview Evidence
HR professionals can describe their aims / objectives, targets and associated activities / initiatives and how these link to the Council plans.

Indicator 4 – HR Unit Performance Capacity

STRENGTHEN/LEVEL 2	ASSESSED BY
Performance information relevant to the HR plan is gathered, collated, interpreted and acted on. The HR Unit undertakes service related benchmarking activities. The HR Unit evaluates all initiatives for their contribution to overall organisational performance.	Documentary evidence on HR performance against planned objectives and evidence of changes/improvements arising from that. Benchmarking activities to include measurement against the HR practices of other organisations and/or accepted good practice guides and standards. Documentary evidence of reviews of HR initiatives in learning and development, employee relations and equality; HR professionals are able to describe the impact that these initiatives have had on the organisation's performance.

Self Assessment Questions

What performance information relevant to the HR plan is gathered, collated, interpreted and acted on?

Model Documentary Evidence
Reports to Department Head / Chief Executive / Council on HR plan performance, for example, information on training programmes undertaken and outcomes, appraisal interview completion, absence statistics, recruitment / selection activity.

Model Interview Evidence
HR professionals can consistently describe at interview what performance information they gather, current levels of performance, action planned to overcome any shortfalls and examples of successful action previously undertaken.

What service related benchmarking activities (if any) does the HR Unit undertake?

Model Documentary Evidence
Minutes / notes from benchmarking meetings with other organisations
Reports and / or submissions from / to external bodies that specialise in elements of human resources, for example, Investors in People assessment report, submission for National Training Award.

Model Interview Evidence
HR professionals can consistently describe how their contact with external bodies such as the Local Government Staff Commission, Labour Relations Agency, and Equality Commission ensures good practice. HR professionals can consistently describe formal or informal benchmarking activities undertaken with other organisations.

How does the HR Unit evaluate initiatives for their contribution to overall organisational performance?

Model Documentary Evidence
Reports from regulatory bodies confirming compliance.
Review of initiatives where there has been a training or other HR input and specifically information on the success of that HR input.

Model Interview Evidence
HR professionals consistently describe the impact of HR inputs into organisational change, compliance and achievement.

IMPROVEMENT REQUIRED   ☐ Yes   ☐ No   21
If Yes see Improvement Plan at end of Indicator 4 on Page 24

Indicator 4 – HR Unit Performance Capacity

STRATEGIC INTEGRATION/LEVEL 3	ASSESSED BY
HR inputs to the organisation's performance and the management agenda at a strategic level. The HR Unit undertakes stakeholder analysis with regard to quality of service provided and can describe changes made as a result.	Documentary evidence of HR input into organisation strategy. HR professionals confirm and are able to describe the impact of HR input on the organisation's strategy. Documentary and interview evidence of stakeholder analysis and of changes/improvements arising from that analysis

Self Assessment Questions

How does the HR unit input into the organisation's performance and the management agenda at a strategic level?

Model Documentary Evidence
Reports to senior managers on HR issues.
Plans with linked objectives from two or more levels of management.
Agenda items at Council and senior management level reflecting HR Unit aims and objectives.

Model Interview Evidence
Senior managers and HR professionals can consistently describe the impact of HR objectives on Council activities.

What stakeholder analysis does the HR Unit undertake with regard to quality of service provided?

Model Documentary Evidence
HR Service User Survey information.
Specific questions on HR Unit performance on Staff Attitude surveys.

Model Interview Evidence
HR professionals can consistently describe a process of stakeholder review and analysis.

What changes has the HR Unit made as a result of stakeholder feedback and analysis?

Model Documentary Evidence
Reports and / or action plans arising from stakeholder reviews of HR Unit performance.

Model Interview Evidence
HR professionals can consistently describe changes and improvements made as a result of a review of stakeholder satisfaction with services.

IMPROVEMENT REQUIRED ☐ Yes ☐ No 22
If Yes see Improvement Plan at end of Indicator 4 on Page 24

Indicator 4 – HR Unit Performance Capacity

EVIDENCED BY THE FOLLOWING

OUTCOME MEASURES	ASSESSED BY
The HR Unit can describe how departmental and individual task and quality objectives are being addressed and met. The HR Unit can describe and demonstrate its contribution to meeting organisation vision, values, aims and targets.	Interview evidence from HR professionals supported by documentary evidence.

Self Assessment Questions

How can the HR Unit demonstrate that departmental and individual task and quality objectives are being addressed and met?

Model Documentary Evidence
Reports to Council and senior management on performance measures and improvements.
Appraisal information on objectives set and action taken by HR Unit staff.
HR Unit plan and reviews of that plan.

Model Interview Evidence
HR professionals can consistently describe a process of objective setting, action, achievement and review within the HR Unit.

What contribution does the HR Unit make to meeting the organisation's vision, values, aims and targets?

Model Documentary Evidence
HR Unit plans and Council plans where the links between vision, values, aims and targets in both can be tracked.

Model Interview Evidence
Senior managers and HR professionals can consistently describe a process of input by the HR Unit into the Council's plans and activities.

IMPROVEMENT REQUIRED ☐ Yes ☐ No   23
If Yes see Improvement Plan at end of Indicator 4 on Page 24

Model Report: Indicator 4 – HR Unit Performance Capacity
Level Achieved: 3   Operating at Level: 3+

- The HR Unit's plan is developed each year with aims and objectives that clearly link to New City Council's Corporate Plan.

- The HR Unit gathers information on absence, training uptake, training expenditure, disciplinary, harassment and grievance cases and completion of appraisals, reported quarterly to Council.

- External benchmarking includes participation in a range of groups and less formal arrangements including, participation in Local Government Staff Commission initiatives and membership on the Local Government Training Group committee, meetings with HR managers in four other Councils for joint activities and discussions.

- Training, employment and other HR policies and initiatives are reviewed through a Human Resources Focus Group. This meets four times per year and consists of managers from other departments and units as well as trade union representatives.

- Issues discussed at recent meetings, include, flexible working arrangements, changes in absence reporting procedures, delays in hearings of grievance cases, concerns about changing attitudes among managers to lateness.

- HR Issues are a standing item at the monthly senior management team meetings and the Head of Human Resources attends part of this meeting to present her report.

- The HR Unit has made significant changes to the way it operates based on information received from the HR Focus group and questions in the Staff Attitude Survey that focus on the role and effectiveness of the HR Unit.

- Changes made include, the circulation of trend and statistical information on HR issues to include all Unit managers and department heads. The formulation of a Training Plan for the whole Council which enables corporate level training initiatives to be monitored and direct comparisons made on the amount of training received by different staff groups for monitoring purposes. Article 55 Review is now circulated to all Unit managers.

- The HR Unit has made a significant contribution to equality awareness in the provision of goods and services among staff as well as ensuring that Risk Assessments have now been completed in all areas and that all staff receive a one to one meeting with their line manager at appraisal. In addition, more than 80% of individual communications between employees are now carried out using email as a result of IT training sourced and organised by the HR Unit.

Improvement Plan Indicator 4 HR Unit Performance and Capacity

Objective:
To increase access to HR policies, procedures and performance information.

Actions / Initiatives
1. Place all HR policies, procedures and performance information that is not confidential on the Council intranet.

People Responsible and Resources Needed
Head of Human Resources and Head of IT
Two days each for a member of HR and IT units

Reporting Arrangements and Timescale
Review by Chief Executive September _____

Employee Relations Human Resource Standards

Indicator 5 – Absence Management

ESTABLISH/LEVEL 1	ASSESSED BY
The organisation has an agreed absence policy, based on good practice (such as the LGSC Model) with the statutory minimum level of procedures. The Absence Policy is communicated to all employees and new starts. Recording of absence procedures that meet Local Government Audit reporting requirements are undertaken.	Written policies following a recognised good practice guide. Employee interview evidence that the Absence Policy has been communicated to them and confirmation that they know where to get access to the policy; written confirmation from auditor that the recording meets requirements or HR professionals are able to describe how their absence procedures meet audit requirements.

Self Assessment Questions

Has the organisation an agreed absence policy, based on good practice (such as the LGSC Model) with the statutory minimum level of procedures? ☐ Yes ☐ No

If yes, in which documents can this policy be found?

Model Documentary Evidence
Staff handbook
Personnel handbook
Internet / Intranet
Absence reporting procedures

Model Interview Evidence
HR Professionals are able to outline how the absence policy operates.

If yes, how have you ensured that the policy complies with a good practice standard?

Model Documentary Evidence
Comparison with good practice model policy from LGSC, LRA, etc.

Model Interview Evidence
HR professionals are able to describe the changes made to the model policy.

IMPROVEMENT REQUIRED   ☐ Yes   ☐ No
If Yes see Improvement Plan at end of Indicator 5 on Page 35

How is the absence policy communicated to all employees and new starts?

Model Documentary Evidence
Team briefing note
Programme and handout from induction programme
Staff Handbook

Model Interview Evidence
At least 80% of managers interviewed are able to discuss the main reporting requirements of the Absence Policy.

How effective is that communication process?

Model Documentary Evidence
Staff Handbook
Records of dissemination process, for example, seminar content and attendance records.

Model Interview Evidence
At interview at least 80% of recent starts and other staff are aware that an Absence Policy exists, of the requirement to inform the employer at the start of an absence and where or from whom they would get further information.

How is absence recorded?

Model Documentary Evidence
Absence recording forms / documents.

Model Interview Evidence
At least 80% of managers are aware of the requirements from staff to complete self reporting forms and when to seek a medical certificate.

Does your organisation's absence recording system generate reports that fully comply with Local Government Audit reporting requirements?
☐ Fully   ☐ Partially   ☐ No

IMPROVEMENT REQUIRED   ☐ Yes   ☐ No   26
If Yes see Improvement Plan at end of Indicator 5 on Page 35

Indicator 5 – Absence Management

STRENGTHEN/LEVEL 2	ASSESSED BY
Absence management procedures are applied fairly and consistently across departments and sections. Guidelines and training in absence management are provided for managers and supervisors. The operation and effectiveness of the absence management procedures are reviewed and evaluated regularly. Managers at all levels confirm the effectiveness of the absence arrangements and their commitment to operating them. Absence statistics and issues are reported regularly (at least once per quarter) to the senior management team and to Council. An effective system of occupational health support for employees and the organisation is in place.	Interview evidence from staff of the fairness of how absence procedures are applied. At interview managers confirm that they have received training on absence management, that the approach is applied consistently and that it has been effective in addressing absence issues. HR professionals or managers from other sections can describe improvements in absence arising from the application of the procedures. Documentary evidence of presentation to and review of absence statistics by the senior management team and the Council.

Self Assessment Questions

How consistent and fair is the application of absence management procedures across and within departments and sections?

Model Documentary Evidence
Records of monitoring of procedures and action taken on failure of the procedures.
Evidence of the use of 'trigger' points in monitoring the procedures.
A review of a sample of absence records demonstrates compliance with procedures.
Return to work interview records across the range of departments and sections in the Council.

Model Interview Evidence
HR professionals can describe how they monitor absence recording and management procedures and how this ensures consistency and fairness of the process.

What guidelines and training in absence management are provided for managers and supervisors?

Model Documentary Evidence
Training programme content and handouts.
Records of attendance at training programmes.
Absence Management Guidelines with records of dissemination.

Model Interview Evidence
At least 80% of managers and supervisors interviewed confirm that they have received training and guidelines in absence management.

IMPROVEMENT REQUIRED   ☐ Yes   ☐ No   27
If Yes see Improvement Plan at end of Indicator 5 on Page 35

How often do you review?
- Absence Management Policies and Procedures?
- The effectiveness of Absence Management Policies and Procedures?

Model Documentary Evidence
Reports on the effectiveness of absence management procedures.
Procedural changes.

Model Interview Evidence
HR professionals can describe changes to absence management procedures and the reasons that led to these changes.

What changes have been made as a result of reviewing?
- Absence Management Policies and Procedures?
- The effectiveness of Absence Management Policies and Procedures?

Model Documentary Evidence
Records of action taken as a result of reviews (for example, training programme records)

Model Interview Evidence
HR professionals can describe the action taken to ensure that changes to absence management are effective.

What evidence is there to show that employees and their representatives feel that the organisation demonstrates a commitment to employee health and well-being?

Model Documentary Evidence
Minutes of joint consultative meetings
Answers to specific questions in staff attitude surveys

Model Interview Evidence
Trade Union representatives and at least 60% of staff interviewed confirm that the organisation demonstrates a commitment to employee health and well-being.

IMPROVEMENT REQUIRED   ☐ Yes   ☐ No   28
If Yes see Improvement Plan at end of Indicator 5 on Page 35

What evidence is there to show that managers consider the absence management procedures to be supportive and effective in managing absence?

Model Documentary Evidence
Absence records including absence certificates and return to work interviews across all departments and sections where there has been absence.

Model Interview Evidence
At interview at least 80% of managers and supervisors confirm that the approach to absence management is reasonable and effective.

Do managers at every level understand their role and accept their responsibility under the absence management policy and procedures?

Model Documentary Evidence
Guidance notes to managers and content of training programmes.

Model Interview Evidence
At interview at least 80% of managers and supervisors can describe their role and responsibilities under the absence management policies and procedures.

How often are absence statistics and issues reported and considered by:
- The senior management team?
- The Council?

Model Documentary Evidence
Reports to Council and the senior management team. To comply the reports to Council should be at least annually and to senior management at least quarterly.
Council and senior management team minutes confirming reports on staff absence.

Model Interview Evidence
Senior managers and elected members can describe at interview the process by which absence statistics and reports are considered and are aware of the broad issues involved.

IMPROVEMENT REQUIRED   ☐ Yes   ☐ No   29
If Yes see Improvement Plan at end of Indicator 5 on Page 35

What system of occupational health support for employees and the organisation is in place?

Model Documentary Evidence
Occupational Health contract with external body.
Job description of internal occupational health professional.
Written statement of policy and / or procedures on occupational health.

Model Interview Evidence
At least 80% of managers and supervisors interviewed are aware of the existence of occupational health support for employees and can describe how they can access it and / or get further information on it.

How effective is that system:
- For employees?
- For the organisation?

Model Documentary Evidence
At least 60% positive answers to specific questions on understanding of occupational health support available.
Records demonstrating that 80% or more of appointments to occupational health service take no more than one month from contact to first appointment.

Model Interview Evidence
Confirmation by those who have used the occupational health service if they are selected for interview (it may not be possible to identify those who have used the occupational health service and there is no requirement to select such individuals for interview) of its effectiveness.

Confirmation by the managers of those who have used the occupational health service of its effectiveness.

IMPROVEMENT REQUIRED   ☐ Yes   ☐ No   30
If Yes see Improvement Plan at end of Indicator 5 on Page 35

Indicator 5 – Absence Management

STRATEGIC INTEGRATION/LEVEL 3	ASSESSED BY
Internal best practice on absence management is shared between departments. Employee welfare and well-being issues are addressed through the provision of employee assistance programmes etc. First line managers and supervisors take primary responsibility for absence management in their area. Targets for reduction are set and action is taken and reviewed. The organisation's health and safety record is considered at a corporate level and steps are taken to address any issues identified.	Documentary and interview evidence of the sharing of best practice between departments and of the provision of employee assistance programmes. Managers and supervisors confirm that they take primary responsibility for absence management among their staff. Written evidence of target setting and review of targets. Written evidence of senior management consideration of health and safety and at interview senior managers can describe the steps taken to address any issues arising.

Self Assessment Questions

How is internal best practice on absence management shared between departments?

Model Documentary Evidence
Minutes of inter-departmental meetings where good practice in absence management is an agenda item.
Evidence of input to training programmes where absence management issues are addressed.

Model Interview Evidence
HR Professionals and other managers can describe at least three different examples of sharing of good practice on absence management between departments / managers.

Does the organisation have an employee assistance programme or similar programme (for example access to counselling, welfare provisions etc.)?
☐ Yes ☐ No

If yes, how well does it address employee welfare and well-being issues?

Model Documentary Evidence
Records demonstrating usage by staff from all departments.

Model Interview Evidence
Those interviewed who have used the programme give examples of the benefits (interviewees should not be selected because they have used the programme).

IMPROVEMENT REQUIRED ☐ Yes ☐ No
If Yes see Improvement Plan at end of Indicator 5 on Page 35

How well do first line managers and supervisors take responsibility for absence management in their area of responsibility?

Model Documentary Evidence Records of completion of return to work interviews from all departments.   **Model Interview Evidence** At least 80% of managers and supervisors describe absence management procedures as an integral part of their people management responsibilities.

What targets (if any) have been set for absence reduction and to what extent have these targets been met?

Model Documentary Evidence Records of target setting and monitoring. Written evidence of change of targets and a review of action. **Model Interview Evidence** HR professionals can describe the targets set and monitoring procedures. HR professionals can describe a process of review and change and the reasons why targets have changed.

Based on these targets what action has been taken?

Model Documentary Evidence Records of action taken to meet targets.   **Model Interview Evidence** HR professionals can describe the targets set, associated action / initiatives to meet targets.

IMPROVEMENT REQUIRED   ☐ Yes   ☐ No   32
If Yes see Improvement Plan at end of Indicator 5 on Page 35

Is the organisation's health and safety record considered at a corporate level? ☐ Yes ☐ No

If yes, what issues have been identified and what steps have been taken to address those issues?

Model Documentary Evidence
Minutes of senior management or Council meetings where the Council's health and safety record has been an agenda item.
Inclusion of health and safety aims and / or objectives in Corporate / Strategic Plans.
Records of communication / training arising from heath and safety issues identified as corporate issues.

Model Interview Evidence
Senior managers and / or elected members can describe the health and safety issues identified and discussed at corporate level including the action taken as a result of discussions.

IMPROVEMENT REQUIRED ☐ Yes ☐ No

If Yes see Improvement Plan at end of Indicator 5 on Page 35

Indicator 5 – Absence Management

EVIDENCED BY THE FOLLOWING OUTCOME MEASURES

ASSESSED BY

EVIDENCED BY THE FOLLOWING OUTCOME MEASURES	ASSESSED BY
The organisation can demonstrate an effective process of absence management that minimises disruption.	Absence statistics that demonstrate the link between initiatives and improvements in the context of targets set.
The organisation undertakes absence management benchmarking activities.	HR professionals and/or senior managers can describe internal and external benchmarking activities and changes made as a result of these activities.
Targets set for the reduction of absenteeism levels are met.	
Employees feel that the organisation demonstrates a commitment to their health and well-being.	Confirmation from employees at interview that the organisation is interested in their well-being

Self Assessment Questions

What evidence do you have that your absence management is an effective process that is embedded in the organisation and minimises disruption?

Model Documentary Evidence
Records of improved absence statistics.
Impact on costs to cover staff absence.
Records of improved service delivery that can be wholly or partly attributed to improvements in staff absence.

Model Interview Evidence
HR professionals can give examples of reduced costs and / or service improvements that are confirmed by the managers in those areas as a result of a downturn in absence.

What absence management benchmarking activities has the organisation undertaken?

Model Documentary Evidence
Minutes or notes of benchmarking meetings.
Records of attendance at seminars/ workshops/ training events where good practice in absence management has featured.

Model Interview Evidence
HR professionals are able to describe how other organisations approach absence management and the impact of those approaches.
HR professionals can describe how their approaches and procedures comply with accepted good or best practice approaches.

IMPROVEMENT REQUIRED   ☐ Yes   ☐ No   34
If Yes see Improvement Plan at end of Indicator 5 on Page 35

Model Report: Indicator 5 – Absence Management
Level Achieved: 1   Operating at Level: 2

- New City Council absence reporting procedures were reviewed and changed nine months ago to ensure they comply with best practice guidance. This review has involved the Local Government Staff Commission Professional Officer, representatives of trade unions and a manager from each department.

- The current system complies with good practice and audit requirements and all involved in the review have evaluated it as operating in a satisfactory way.

- Information on the policies and reporting arrangements are available in each department, from all trade union representatives and on the Council intranet and is part of the induction pack for new starts.

- Trade union representatives and interviewees consistently report that procedures are followed in terms of both documents and return to work interviews.

- Managers report a more effective system of absence management in the last six to nine months. They have all received specific training in absence management and receive monthly updates on absence in their own area of responsibility with issues that need to be followed up highlighted.

- The present system has not been in operation long enough to be able to demonstrate any reliable improvements in statistics but initial indications are that there has been a reduction in absence.

- The senior management team considers absence monthly as part of the HR report it receives from the Head of Human Resources. Information on absence will be reported to the Council on a quarterly basis. To date only one report of this kind has been made.

- Occupational health services have been provided to individuals on an ad hoc basis.

Improvement Plan Indicator 5 Absence Management

Objective:
To develop the Council's approach to absence management so that it becomes a strategic issue.

Actions / Initiatives
1. Investigate, source and develop a comprehensive occupational health service.
2. Review absence management information and outcomes and develop an improvement process.

People Responsible and Resources Needed
Head of Human Resources is responsible for investigating and making a business case for presentation to Council and the senior management team on an Occupational health service.
The HR Focus Group will review the operation of absence procedures and the information currently being generated by the management procedures.
Occupational health service will require costing and additional resources.

Reporting Arrangements and Timescale
Monthly to the senior management team, quarterly to the Council to continue.

Indicator 6 – Implementation of Policies and Procedures

ESTABLISH/LEVEL 1	ASSESSED BY
Policies and procedures cover statutory minimum requirements in relation to conduct, capability, redundancy, harassment, health and safety, discipline and grievance. Policies and procedures are communicated to all employees and new starts. Systems are in place to ensure that policies and procedures are applied fairly and consistently.	Review of content of written policies and procedures on conduct, capability, redundancy, harassment, health and safety, discipline and grievance against statutory requirements. Employees and new starts confirm that information on policies is given during induction and that they know how to get access to these policies. Confirmation by managers and other employees at interview that procedures are applied fairly and consistently.

Self Assessment Questions

Does the organisation have policies and procedures that cover statutory minimum requirements in relation to conduct, redundancy, harassment, health and safety, discipline and grievance?

☐ Yes ☐ No

If yes, which documents contain these policies and procedures?

Model Documentary Evidence
Policies and procedures on (at least) conduct, capability, health and safety, discipline, grievance, harassment and where relevant, redundancy.

Model Interview Evidence
HR professionals can list and access the main human resource policies.

How are policies and procedures communicated to all employees and new starts?

Model Documentary Evidence
Briefing notes.
Training programme content and handouts (including induction programme).
Internet, intranet entries.

Model Interview Evidence
At least 80% of employees interviewed from all jobs, locations and departments are aware that there are a range of Human Resource based policies and procedures and where they would get further information on them or access to them.

What systems are in place to ensure that policies and procedures are applied fairly and consistently?

Model Documentary Evidence
Appeals procedures.

Model Interview Evidence
At least 80% of staff interviewed believe that the Council is fair in the way it applies its human resource policies and procedures.

IMPROVEMENT REQUIRED ☐ Yes ☐ No 36
If Yes see Improvement Plan at end of Indicator 6 on Page 42

Indicator 6 – Implementation of Policies and Procedures

STRENGTHEN/LEVEL 2	ASSESSED BY
Policies and procedures meet relevant Statutory Codes of Practice for example, ECNI, LRA. Relevant guidelines and training for employees and managers is provided. Regular (at least every three years or to an externally defined standard) review and evaluation of policies and procedures is undertaken. Managers understand and are committed to implementing all relevant policies and procedures. In the event of disagreement the organisation has an Alternative Dispute Resolution (ADR) process	Evidence that the organisation has taken steps to have its policies and procedures 'proofed' against statutory Codes of Practice. Managers and other employees confirm that training on guidelines in respect of conduct, capability, redundancy, harassment, health and safety, discipline and grievance has been received. Documentary evidence of review and changes made to these policies and procedures. Managers confirm at interview their understanding of and commitment to these policies. Written confirmation of the organisation's Alternative Dispute Resolution (ADR) process.

Self Assessment Questions

Do policies and procedures meet relevant Statutory Codes of Practice?

☐ Yes   ☐ No

What guidelines and training is provided for managers and other employees?

Model Documentary Evidence
Training programme content and handouts
Guidelines supplied to managers

Model Interview Evidence
At least 80% of managers interviewed from all departments and locations confirm that they have received a satisfactory level of training and/ or support on the implementation of human resource based policies and procedures.

How frequently are these policies and procedures reviewed?

Model Documentary Evidence
Review reports
Changed / updated policies and procedures

Model Interview Evidence
HR professionals can describe the cycle of review and updating in each policy area.

Do managers at every level understand their role and accept their responsibility for implementing relevant policies and procedures?

Model Documentary Evidence
Evidence of training / briefing managers.
Records of application of policies and procedures show at least 80% level of accurate implementation by managers.

Model Interview Evidence
At least 80% of managers from all departments and locations are accurate in their description of their people management responsibilities

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Does the organisation have an Alternative Dispute Resolution (ADR) processes (for example, conciliation stage, workplace mediation scheme, etc.)? ☐ Yes   ☐ No

If yes, where are they?

Model Documentary Evidence
Arbitration or other Alternative Dispute procedures.

Model Interview Evidence
HR professionals can describe the location and content of Alternative Dispute Resolution (ADR) processes.

 IMPROVEMENT REQUIRED ☐ Yes   ☐ No   38
 If Yes see Improvement Plan at end of Indicator 6 on Page 42

Indicator 6 – Implementation of Policies and Procedures

STRATEGIC INTEGRATION/LEVEL 3	ASSESSED BY
Employees and their representatives (such as trade unions) confirm that organisation policies and procedures are developed through a process of consultation and implemented effectively. Employees and their representatives (such as trade unions) confirm that an effective process of Alternative Dispute Resolution (ADR) exists.	Interview confirmation from Trade Union representatives and other employees of consultation in policy development, of the effectiveness of the implementation process and of the ADR process.

Self Assessment Questions

What evidence is there that employees and their representatives (such as trade unions) are satisfied that organisation policies and procedures are developed through a process of consultation and implemented effectively?

Model Documentary Evidence
Written confirmation from trade union representatives and/ or minutes of meetings where Alternative Dispute Resolution procedures were discussed and developed.

Model Interview Evidence
Trade Union representatives confirm at interview that they were involved and consulted in the process of policy and procedure development for Alternative Dispute Resolution processes.

How can you demonstrate that employees and their representatives (such as trade unions) feel that the Alternative Dispute Resolution (ADR) processes are effective?

Model Documentary Evidence
Records of use of Alternative Dispute Resolution procedures by staff and / or trade unions.

Model Interview Evidence
Trade Union representatives confirm that satisfactory processes of Alternative Dispute Resolution exist.

IMPROVEMENT REQUIRED ☐ Yes ☐ No
If Yes see Improvement Plan at end of Indicator 6 on Page 42

Indicator 6 – Implementation of Policies and Procedures

EVIDENCED BY THE FOLLOWING OUTCOME MEASURES	ASSESSED BY
Employee satisfaction measures confirm a high level of satisfaction with the process of policy and procedure implementation.	Employee Attitude survey and/or interview confirmation of a high level (80% or above) of satisfaction with the process of policy implementation.
Managers confirm a consistent and effective process of policy and procedure implementation.	Managers confirm at interview effective policy and procedure implementation.
The organisation can demonstrate that management and staff behaviour is consistent with corporate values and organisational policies and procedures.	Senior managers can describe the consistency between staff behaviour, corporate values and policy/procedure implementation.

Self Assessment Questions

What evidence is there that your policy and procedure implementation process is embedded and effective throughout the organisation?

Model Documentary Evidence
Specific questions included in Staff Attitude surveys that gauge staff reaction to policy implementation.
Records of focus group meetings or other consultation process with staff where issues of policy and procedure implementation have been addressed.
Specific questions included in staff satisfaction surveys that measure manager satisfaction with policy implementation at above 80%.
Records of focus group meetings or other consultation process specifically with managers where issues of policy and procedure implementation have been addressed.

Model Interview Evidence
At least 60% of staff from all jobs, locations and departments confirm that they have been consulted on policy implementation.
At least 80% of managers interviewed confirm the effectiveness of policy implementation.

IMPROVEMENT REQUIRED ☐ Yes   ☐ No   40
If Yes see Improvement Plan at end of Indicator 6 on Page 42

How does the organisation measure that management and staff behaviour is consistent with corporate values and organisational policies and procedures?

Model Documentary Evidence
Written definition of management behaviours and/ or competencies.
Specific questions in staff attitude surveys that measure satisfaction levels with management behaviours.
Performance Appraisal records that management behaviours/competencies are used in measuring people management knowledge and skills.
Training programmes and/or guidelines to address issues of management behaviour or knowledge identified as being problematic.

Model Interview Evidence
At least 80% of staff interviewed from all jobs, locations and departments confirm that manager behaviours comply with corporate values and policies and procedures.
HR professionals and other managers confirm specific action taken to address issues of inconsistency in management behaviours in relation to corporate values and / or the implementation of Council policies and procedures.

IMPROVEMENT REQUIRED ☐ Yes ☐ No 41
If Yes see Improvement Plan at end of Indicator 6 on Page 42

Model Report: Indicator 6 – Implementation of Policies and Procedures
Level Achieved: 2   Operating at Level: 3

- New City Council has a full range of policies and procedures in relation to conduct, redundancy, harassment, health and safety, discipline and grievance. These are contained in an Employee Handbook.

- An up to date copy of the Employee Handbook is available in all departments, from all trade union representatives and on the Council intranet.

- Most staff confirmed at interview that they have received a copy of the Employee Handbook when it was first introduced and all new starts receive a copy as part of their induction.

- Virtually all managers interviewed confirm that they have received training in the operation of human resource procedures.

- In addition, there is a requirement in the procedures for human resource staff to be involved and consulted at key points. This ensures consistency in application.

- There have been only three appeals of any of these procedures in the last three years and none of these appeals indicated a failure to follow procedures.

- The procedures are changed when new guidance is issued and reviewed annually to ensure they still conform with best practice as defined by the Local Government Staff Commission and the Labour Relations Agency.

- New City Council has set up a working group with trade union representatives to develop a formal alternative dispute resolution process. This is due to report to the Chief Executive in June _____.

Improvement Plan Indicator 6 Implementation of Policies and Procedures

Objective:
To develop an agreed Alternative Dispute Resolution (ADR) procedure that is agreed by both trade unions and management.

Actions / Initiatives
1. Continue the development process for ADR already initiated by the joint management and trade union working group.
2. Ask the Local Government Staff Commission and Labour Relations Agency to review the draft ADR.

People Responsible and Resources Needed
Joint Working Group is responsible for completing the initial draft.
Head of Human Resources is responsible for asking the Local Government Staff Commission and Labour Relations Agency for comment and getting Working Group agreement to the final draft.

Reporting Arrangements and Timescale
Monthly report on progress to Head of Human Resources.
Presentation of draft ADR to the Chief Executive by June _____
ADR presented to Council for agreement by November _____

Indicator 7 - Information, Consultation and Negotiation

ESTABLISH/LEVEL 1	ASSESSED BY
The organisation has formal communication mechanisms (that include both trade union and non trade union members).	Interview confirmation from trade union and other employees of formal communication procedures.
The organisation complies with statutory requirements for information and consultation in for example, Redundancy, Recognition Agreement, Section 75 and Freedom of Information.	Review of documentary evidence in respect of Redundancy (if relevant) Recognition Agreement, Section 75 and Freedom of Information consultations and communications.

Self Assessment Questions

What formal communication mechanisms does your organisation have?

Model Documentary Evidence
Communications Strategy.
Consultative procedures and minutes / notes of consultative meetings that comply with the frequency requirements defined in procedures.
Internet / intranet information on Council policies and activities.

Model Interview Evidence
Trade union representatives confirm that consultative procedures operate.
At least 80% of staff can describe information recently received from management and / or how they can personally access information.

Are there mechanisms for consulting with non trade union members? ☐ Yes ☐ No

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Model Documentary Evidence
Written procedures on how both trade union and non-trade union members are informed and consulted with

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How does your organisation comply with statutory requirements for information and consultation (for example in Redundancy, Recognition Agreement, Section 75 and Freedom of Information)?

Model Documentary Evidence
Good practice policies and procedures produced by advisory and regulatory bodies.

Model Interview Evidence
HR professionals can describe the differences to their policies and procedures and those of the advisory and regulatory bodies and the reasons for the differences.

IMPROVEMENT REQUIRED ☐ Yes ☐ No   43
If Yes see Improvement Plan at end of Indicator 7 on Page 50

Indicator 7 - Information, Consultation and Negotiation

STRENGTHEN/LEVEL 2	ASSESSED BY
Formal policies, procedures or strategies on information, consultation and negotiation are in place. A Facilities Agreement is in place and is applied consistently. There is compliance with Relevant Codes of Practice, for example, ECNI, LRA. In the event of disputes or disagreements there are agreed processes for Alternative Dispute Resolution (ADR).	Documentary evidence of policies, procedures and/or strategies on information, consultation, negotiation and a facilities agreement. Interview confirmation from managers, trade union representatives and other employees that the policies and procedures are applied consistently. Evidence that procedures and strategies have been proofed to comply with Equality Commission (ECNI) and Labour Relations Agency (LRA) Codes of Practice. Documentary evidence that the organisation collects and reports information on consultation and negotiations. Documentary evidence of an agreed ADR process.

Self Assessment Questions

What formal policies, procedures or strategies on information, consultation and negotiation does your organisation have?

Model Documentary Evidence
Specific policies and procedures for information, consultation and negotiation (possibly contained within a communications strategy).

Model Interview Evidence
HR professional can describe the range of information, consultation and negotiation policies and procedures.

Is there a Facilities Agreement in place?   ☐ Yes   ☐ No

IMPROVEMENT REQUIRED   ☐ Yes   ☐ No   44
If Yes see Improvement Plan at end of Indicator 7 on Page 50

Is it applied consistently?

Model Documentary Evidence
Records of use of Facilities Agreement.

Model Interview Evidence
HR professionals can describe how the Facilities Agreement is applied.
Trade Union representatives confirm that the Facilities Agreement has been applied consistently.

What steps have you taken to comply with statutory Codes of Practice?

Model Documentary Evidence
Availability of ECNI and LRA CIPD, Local Government Staff Commission, Occupational Health standards and Codes of Practice.

Model Interview Evidence
HR professionals can describe how their policies and procedures comply with and if relevant differ from ECNI and LRA and other Codes of Practice.

IMPROVEMENT REQUIRED   ☐ Yes   ☐ No   45
If Yes see Improvement Plan at end of Indicator 7 on Page 50

Are there Alternative Dispute Resolution (ADR) processes in place (for example conciliation, mediation and arbitration)? ☐ Yes ☐ No

If yes, what are they and who are they agreed with?

Model Documentary Evidence
Minutes of meetings where agreement was made, for example with trade union representative Alternative Dispute Resolution procedures.

Model Interview Evidence
Trade Union or other relevant representative confirms their agreement to the Alternative Dispute Resolution procedures.

Indicator 7 - Information, Consultation and Negotiation

STRATEGIC INTEGRATION/LEVEL 3	ASSESSED BY
Information, negotiation and consultation processes are embedded in every service, department and team. Employees and their representatives (such as trade unions) confirm that the communication mechanisms work effectively. Employees and their representatives (such as trade unions) confirm that an effective process of Alternative Dispute Resolution (ADR) operates.	Interview confirmation from all departments, services and teams that information, negotiation and consultation processes are operated effectively. Trade union representatives and other employees confirm at interview that communication mechanisms described by management are effective and if relevant that the ADR has been implemented effectively

Self Assessment Questions

Can you give evidence that the information, negotiation and consultation processes in the organisation are embedded in every service, department and team in the organisation?

Model Documentary Evidence
A summary of these processes may be submitted but should <u>not</u> be drafted for the purposes of this assessment only.

Model Interview Evidence
HR professional verbally summarises information, negotiation and consultation processes.
At least 80% of managers and trade union representatives interviewed confirm the use of information, negotiation and consultation processes in their team/department.

IMPROVEMENT REQUIRED ☐ Yes ☐ No
If Yes see Improvement Plan at end of Indicator 7 on Page 50

How can you evidence that employees and their representatives (such as trade unions) are satisfied with your organisation's communication mechanisms?

Model Documentary Evidence
Written statement of satisfaction from trade unions.
Minutes of meetings at which satisfaction with current communication mechanisms have been discussed as an agenda item.

Model Interview Evidence
Trade union representatives confirm satisfaction with current procedures at interview.
Trade union representatives confirm that their views on communication mechanisms have been sought.

How can you demonstrate that employees and their representatives (such as trade unions) feel that the ADR processes within the organisation are effective?

Model Documentary Evidence
Minutes of meetings where ADR effectiveness has been discussed as an agenda item.

Model Interview Evidence
Trade union representatives confirm satisfaction with ADR at interview.

Indicator 7 - Information, Consultation and Negotiation

EVIDENCED BY THE FOLLOWING

OUTCOME MEASURES	ASSESSED BY
Employees confirm satisfaction with communication within the organisation including communications from corporate level and those within and between departments, services and teams. The organisation can demonstrate a clear link between information, consultation and negotiation procedures and achieving its corporate aims and objectives.	Interview evidence from managers, trade union representatives and other staff of the effectiveness of communications. Senior managers are able to give examples of how improving corporate communications has helped the organisation achieve its corporate aims.

Self Assessment Questions

Have you measured employee satisfaction with communication within the organisation including corporate communications, those within and between departments, services and teams?

☐ Yes ☐ No

If yes, what is the level of satisfaction? _____%

What evidence do you have of the link between information, consultation and negotiation procedures and your organisation achieving its corporate aims and objectives?

Model Documentary Evidence
Reports on the implementation of policy initiatives which demonstrate that improvements were made to the policy and / or its implementation as a result of consultation.
Formal feedback from staff (in for example, staff attitude surveys) on the performance of communication procedures from corporate level and within and between departments.
Formal feedback from trade union representatives on the effectiveness of consultation mechanisms.

Model Interview Evidence
Senior managers can give examples of changes and improvements made to initiatives, policies and procedures as a result of communication.
Trade union representatives confirm an effective process of consultation.

IMPROVEMENT REQUIRED ☐ Yes ☐ No   49
If Yes see Improvement Plan at end of Indicator 7 on Page 50

Model Report: Indicator 7 – Information, Consultation and Negotiation
Level Achieved: 0   Operating at Level: 1

- New City Council has well developed information, consultation and negotiation processes involving the trade unions.

- In addition, through Team Briefing, the Council intranet, notice boards and informal mechanisms most staff feel that they are well informed on statutory issues but less well informed in work related matters.

- On issues that require statutory information and consultation (such as Freedom of Information, Section 75, trade union recognition and Redundancy) the Council's policies and procedures have been based on good practice procedures developed by the Labour Relations Agency and the Local Government Staff Commission.

- At interview a number of staff who are not trade union members commented that all negotiations and consultations are aimed at trade union representatives and members.

- Staff who are not in trade unions tend to be informed of changes rather than consulted or negotiated with.

- In some parts of the organisation the majority of staff are not members of a trade union or other staff representative group. A significant number of staff from these departments feel that they are not consulted or negotiated with on issues that are important in their work.

Improvement Plan Indicator 7   Information, Consultation and Negotiation

Objective:
To develop a consultation and negotiation process that involves both trade union and non-trade union employees.

Actions / Initiatives
1. Set up a working group comprising trade union and non-trade union members with management to draft proposals for consideration by senior management and Council on inclusive negotiations and consultations.
2. Seek examples of good practice negotiation and consultation processes involving non trade union members from Labour Relations Agency, Local Government Staff Commission and Institute of Personnel Development.

People Responsible and Resources Needed
Head of Human Resources will set up Joint Working Group and agree Terms of Reference.
Head of Human Resources will source examples of good practice.
No additional resources needed.

Reporting Arrangements and Timescale
Working Group to be set up by Head of Human Resources by November _____
Monthly report on progress by Head of Human Resources to senior management.
Presentation of draft proposals to senior management by April _____

Indicator 8 - Organisation Reviews

ESTABLISH/LEVEL 1	ASSESSED BY
The organisation meets the statutory provisions on issues of organisational change such as, consultation for redundancy/redeployments, TUPE etc.	Documentary evidence of polices and procedures on redundancy and TUPE. HR professionals can describe how policies and procedures comply with statutory requirements. Evidence that procedures have been implemented, if relevant.

Self Assessment Question

How does your organisation meet the statutory provisions on issues of organisational change such as, consultation for redundancy/redeployments and TUPE?

Model Documentary Evidence
Organisation review procedures

Model Interview Evidence
HR professionals can describe how Council procedures comply with statutory requirements on issues of organisational change.

IMPROVEMENT REQUIRED   ☐ **Yes**   ☐ **No**   51
If Yes see Improvement Plan at end of Indicator 8 on Page 58

Indicator 8 - Organisation Reviews

STRENGTHEN/LEVEL 2	ASSESSED BY
Effective planning and analysis processes in respect of organisational change exist. There are defined protocols to manage change (for example LGSC Guidance). A consistent process of involvement and participation in planning and implementing change exists and operates consistently across the organisation.	Documentary and interview confirmation that HR elements of organisational change are effectively implemented and managed in line with good practice guides. Managers, trade union representatives and other staff confirm the consistency of the application of consultation and involvement of staff in planning change.

Self Assessment Questions

What planning and analysis processes exist in respect of organisational change?

Model Documentary Evidence
Terms of Reference for groups working on organisational change.
Procedures for managing organisational change.
Procedures for staff involvement and participation in organisational change management.

Model Interview Evidence
Managers, trade union representatives and staff who have been affected by change consistently describe a process of consultation and involvement in planning and implementing organisational change.

What defined protocols to manage change do you use (for example LGSC Guidance)?

Model Documentary Evidence
LGSC or other organisational change management protocols.

Model Interview Evidence
HR professionals list protocols used.

IMPROVEMENT REQUIRED   ☐ Yes   ☐ No   52
If Yes see Improvement Plan at end of Indicator 8 on Page 58

How do you ensure compliance with these protocols?

Model Documentary Evidence
Council organisational change management procedures and good practice protocols.

Model Interview Evidence
HR professionals describe how Council procedures comply with good practice protocols and the reasons for any differences.

How does the organisation ensure staff and their representatives are involved and participate in planning and implementing change?

Model Documentary Evidence
Council organisational change management procedures that include staff and their representatives.

Model Interview Evidence
Trade union and / or other staff representatives consistently confirm their involvement in planning and implementing organisational change.

How consistent is this across the organisation?

Model Documentary Evidence
Minutes of meetings on organisational and / or departmental changes affecting a range of Council departments.

Model Interview Evidence
Trade union and / or other staff representatives consistently confirm their involvement in planning and implementing organisational change.

Indicator 8 - Organisation Reviews

STRATEGIC INTEGRATION/LEVEL 3	ASSESSED BY
There is evidence of innovation across a range of departments and corporately. There are established procedures for identifying and meeting changing staff knowledge, skills and behaviour requirements. Pay and reward systems facilitate flexibility.	Managers in more than 80% of departments can describe innovative changes in structure and service delivery. Staff confirm that when change is planned and implemented that their learning and development needs are assessed and met. Senior managers can give examples of how pay and reward systems have facilitated flexibility in working arrangements and service delivery.

Self Assessment Questions

What evidence is there of innovation in different departments and corporately?

Model Documentary Evidence
Submissions to external bodies that recognise innovation.
Reports from Business Improvement Teams demonstrating innovation.

Model Interview Evidence
HR professionals describe innovative practice in terms of organisational structure and / or service and are able to highlight the unusual or innovative aspects. Innovation can be demonstrated if approaches are new to the local government sector, new to Northern Ireland, the application of a concept or approach in an unusual and original way or in a significant way is different from practice elsewhere.

IMPROVEMENT REQUIRED ☐ Yes ☐ No 54
If Yes see Improvement Plan at end of Indicator 8 on Page 58

What procedures have been established for identifying and meeting changing staff competency (knowledge, skills and behaviours) requirements?

Model Documentary Evidence
Appraisal documents, competency frameworks (and how they are reviewed and updated), training matrices, forward job plans, personal development plans.

Model Interview Evidence
HR managers describe a process of identification of development needs for changing staff competencies in the context of organisational change.
Staff recently involved in change confirm the consistency of the application of these processes.

How does your organisation's pay and reward systems facilitate flexibility?

Model Documentary Evidence
Reward Strategy.
Examples of pay and reward to facilitate flexibility might include, performance related pay, excess mileage allowance resulting from location change, extra leave, honorariums, job evaluation mechanisms.

Model Interview Evidence
HR professionals can describe a range (at least five) of variations to normal pay and reward procedures that can be implemented in the context of facilitating flexibility.

Indicator 8 - Organisation Reviews

EVIDENCED BY THE FOLLOWING
OUTCOME MEASURES   **ASSESSED BY**

EVIDENCED BY THE FOLLOWING OUTCOME MEASURES	ASSESSED BY
The organisation can demonstrate that processes for implementing change have consistently met goals, targets and/or needs. Employees report satisfaction with the approach and processes by which the organisation manages change.	Senior managers can give examples of changes that have resulted in improved service delivery and target achievement, documentary evidence also confirms this. Employee satisfaction measures and/or interview evidence confirm high (80% or better) levels of satisfaction with the way the organisation has managed change

Self Assessment Questions

What evidence do you have that your organisation's processes for implementing change have helped it meet its corporate goals, targets and/or needs?

Model Documentary Evidence
Programme implementation timetables and targets and associated Corporate/ Strategic/ Business Plan objectives and targets.

Model Interview Evidence
Senior managers can describe the link between organisational change management processes and the achievement of organisational goals and targets.

IMPROVEMENT REQUIRED   ☐ Yes   ☐ No
If Yes see Improvement Plan at end of Indicator 8 on Page 58

What steps has your organisation taken to measure staff satisfaction with the approach and processes by which the organisation manages change?

Model Documentary Evidence
Specific questions to relevant staff on how organisational change has been managed.
Focus group meeting minutes involving staff who have experienced organisational change.

Model Interview Evidence
At least 80% of staff interviewed from relevant sections and departments confirm that they have been consulted on their satisfaction with the organisational change process.

What have been the outcomes of these measures?

Model Documentary Evidence
At least 60% positive responses from relevant staff to specific questions on how organisational changes have been managed.

Model Interview Evidence
At least 80% of staff interviewed from relevant sections and departments believe that organisational change affecting them has been well managed.

IMPROVEMENT REQUIRED   ☐ Yes   ☐ No   57
If Yes see Improvement Plan at end of Indicator 8 on Page 58

Model Report: Indicator 8 – Organisation Reviews
Level Achieved: 2   Operating at Level: 3

- New City Council has completed a restructuring process over the last 18 months and has used procedures developed for this in liaison with the Local Government Staff Commission and the Labour Relations Agency.

- Trade union representatives were involved in consultations on this restructuring and they report an open and effective process.

- There is a Council Officer responsible for Best Value initiatives and part of this employee's remit is to oversee organisational change and restructuring.

- There are well defined protocols for these processes which adhere closely to Local Government Staff Commission guidance.

- Working teams are set up in respect of any restructuring and their Terms of Reference are based directly on protocols. These teams comprise management and trade union working groups and are required to report on how their work has adhered to the defined protocols.

- Best Value reports provide evidence of change and innovation across a range of departments and services. There are a large number of examples of changes to job roles and changes in how units are structured in order to meet service user requirements.

- Survey answers measure the impact of these changes. Improved scoring for these services can be linked directly to these changes particularly in the area of speed of response to queries, supplying service users with information about the services and the response to problems.

- There are a small number of examples of pay and reward systems supporting flexibility, these include the use of honorarium payments and extra leave but most staff have no understanding or experience of these.

- A standard set of staff competencies are being established for all jobs but at present there is no mechanism for updating and changing these in the context of changing job roles and responsibilities.

Improvement Plan Indicator 8 Organisation Reviews

Objectives:
To finalise the competency framework to include all jobs and review procedures.
To investigate examples of flexible pay and reward systems linked to performance.

Actions / Initiatives
1. HR Working Group will continue its work on competencies in conjunction with line managers and make recommendations about review procedures.
2. Examples of pay and reward systems linked to performance and organisational change will be investigated.

People Responsible and Resources Needed
Payroll Unit manager is responsible for the investigation into pay and reward systems.
HR Working Group continues to be responsible for the competency framework.

Reporting Arrangements and Timescale
Monthly report on progress from HR Working Group to Head of Human Resources. Final report to senior management due in February _____
Report on pay and reward submitted to senior management team by November ____

Indicator 9 - Pay, Benefits and Conditions of Service

ESTABLISH/LEVEL 1	ASSESSED BY
The organisation meets its statutory minimum requirements for contracts of employment and national minimum wage. Employees understand their conditions of employment. Pay systems comply with all legal requirements e.g. equal pay.	Documentary evidence that confirms the organisation is meeting statutory requirements for contracts of employment and national minimum wage. Interview confirmation that employees understand their conditions of employment and that they know where they can get access to information on these. Relevant managers can describe how their pay systems have been proofed to ensure how they comply with legal requirements.

Self Assessment Questions

What evidence is there that your organisation meets its statutory minimum requirements for contracts of employment and national minimum wage?

Model Documentary Evidence
Standard Contracts of Employment
National Minimum Wage requirements

Model Interview Evidence
HR professionals describe the steps taken to ensure compliance with statutory minimum requirements on contracts and pay.
At interview trade union representatives confirm that Council contracts and pay meet statutory requirements.

What evidence is there that employees understand their conditions of employment?

Model Documentary Evidence
Employee Handbook
Information on pay and conditions on Council internet / intranet site

Model Interview Evidence
At interview at least 80% of staff confirm that they understand how their pay is calculated and the conditions of employment that they operate under.

IMPROVEMENT REQUIRED   ☐ Yes   ☐ No   59
If Yes see Improvement Plan at end of Indicator 9 on Page 66

How is additional information on pay and conditions communicated to all employees?

Model Documentary Evidence
Employee handbook
Handouts from information seminars and staff induction programmes.
Additional documents available to managers and / or HR professionals.
Documents on staff pay and conditions available on internet / intranet.

Model Interview Evidence
HR professionals describe the range of materials disseminated to staff.
At least 80% of (relevant) staff interviewed confirm that they have received additional information on pay and conditions.

How effective is that communication process?

Model Interview Evidence
At least 80% of (relevant) staff interviewed confirm that they have received additional information on pay and conditions.

Are employees aware that they have access to this information? ☐ Yes   ☐ No

How can you demonstrate that your organisation's pay systems comply with all legal requirements (for example, equal pay, single status etc.)?

Model Documentary Evidence
Minimum wage regulations
Equal pay regulations
Other relevant regulations on pay and remuneration.

Model Interview Evidence
HR professionals and / or payroll professionals can describe how they have ensured compliance with legal requirements on pay.

IMPROVEMENT REQUIRED   ☐ Yes   ☐ No   60
If Yes see Improvement Plan at end of Indicator 9 on Page 66

Indicator 9 - Pay, Benefits and Conditions of Service

STRENGTHEN/LEVEL 2	ASSESSED BY
Employees can describe how their pay is determined. Pay, benefits and conditions of service are described in an Employee Handbook or similar document circulated to all employees and new recruits. The organisation has completed an equal pay audit in line with ECNI guidance.	Interview confirmation from employees and new recruits that they understand how their pay is determined and that they have received information on conditions of service. Managers can describe how conditions of service are above the minimum required. Documentary evidence of completion of an equal pay audit in line with ECNI guidance.

Self Assessment Questions

Do employees understand the system for determining pay in your organisation (for example, negotiated pay agreements, trade union representation etc)?

Model Documentary Evidence
Employee Handbook section on how pay is determined (or other document).

Model Interview Evidence
At least 80% of staff interviewed from all jobs, locations and departments can discuss their grade, pay scale, overtime and / or bonus conditions (if relevant).

Can you demonstrate that employees know where to access information on their pay queries?

Model Documentary Evidence
Employee Handbook
Handouts from information seminars and staff induction programmes.
Documents on staff pay and conditions available on internet / intranet.

Model Interview Evidence
At least 80% of staff interviewed from all jobs, locations and departments confirm receiving information from the Council on pay and conditions.

Where are pay, benefits and conditions of service described?

Model Documentary Evidence
Employee Handbook
Personnel Handbook
Handouts from information seminars and staff induction programmes.
Documents on staff pay and conditions available on internet / intranet.

Model Interview Evidence
HR professionals summarise where pay, benefits and conditions of service are described.

IMPROVEMENT REQUIRED   ☐ Yes   ☐ No   61
If Yes see Improvement Plan at end of Indicator 9 on Page 66

Do all employees and new recruits know where to access this information?

☐ Yes ☐ No

Has the organisation completed an Equal Pay Audit? ☐ Yes ☐ No

If yes, what changes were made as a result of this audit?

Model Documentary Evidence
Equal Pay Audit report

Model Interview Evidence
HR Professional or other relevant describe and discuss outcomes and recommendations and action taken as a result of Equal Pay Audit report.

IMPROVEMENT REQUIRED ☐ Yes ☐ No

Indicator 9 - Pay, Benefits and Conditions of Service

STRATEGIC INTEGRATION/LEVEL 3	ASSESSED BY
All employees have personal direct access to information on pay and conditions for example through an intranet facility. Pay and benefits systems impact positively on organisational performance. Conditions of service above the minimum defined in NIJC/NJC agreements are offered and reflect business needs. Pay, condition and benefits packages are attracting and retaining the right people and rewarding high performance.	Interview confirmation by employees of direct access to information on pay and conditions. Senior managers can describe the positive impact of pay, conditions and benefits on organisational performance and on how they attract and retain staff and how they reward high performance.

Self Assessment Questions

What personal direct access to information on pay and conditions (for example through an intranet facility) are employees given?

Model Documentary Evidence
Employee Handbook
Internet / intranet

Model Interview Evidence
At least 80% of staff interviewed from all departments, jobs and locations confirm that they have direct personal access to information on pay and conditions.

What evidence does the organisation have that the pay and benefits systems impact positively on organisational performance?

Model Documentary Evidence
At least 60% answer positively to specific questions in staff attitude surveys on satisfaction levels with pay and conditions.
Employee statistical trend information demonstrating high retention rates across a range of jobs and departments.

Model Interview Evidence
At least 80% of staff interviewed from all departments, jobs and locations confirm satisfaction with the pay and conditions package offered by the Council for staff carrying out their jobs.

IMPROVEMENT REQUIRED   ☐ Yes   ☐ No   63
If Yes see Improvement Plan at end of Indicator 9 on Page 66

What conditions of service above the minimum defined in NIJC/NJC agreements are offered by your organisation?

Model Documentary Evidence
Examples might include Leave entitlements, including bereavement, dependency, maternity and paternity leave, Work Life Balance entitlements (such as term time leave and flexible working).

Model Interview Evidence
HR professionals describe additional entitlements above collective agreements / regulation requirements offered by the Council.

How have these been influenced by specific business needs?

Model Documentary Evidence
Reports on for example, work life balance entitlements and improvements in productivity.
Reviews and reports on targeting those with skills, qualifications and/or experience with associated recommendations.

Model Interview Evidence
HR professionals and / or other managers can describe the steps taken to attract applications and retention on jobs that are difficult to fill.

What evidence does your organisation have that pay, conditions and benefits packages are attracting and retaining the right people and rewarding high performance?

Model Documentary Evidence
Benchmarking comparative data from other organisations.
Government or other independently generated trend information.

Model Interview Evidence
HR professionals and /or other relevant managers can describe how their approach to pay and conditions has had a positive impact on attracting and retaining staff with at least one group of staff in each Council department.

IMPROVEMENT REQUIRED   ☐ Yes   ☐ No   64
If Yes see Improvement Plan at end of Indicator 9 on Page 66

Indicator 9 - Pay, Benefits and Conditions of Service

EVIDENCED BY THE FOLLOWING

OUTCOME MEASURES	ASSESSED BY
The organisation can demonstrate that its pay, benefits and conditions packages result in levels of recruitment, retention and employee turnover that meet corporate aims. The organisation can demonstrate value for money in its approach to pay, benefits and conditions of service.	Documentary evidence of improved recruitment and retention and the link to achieving corporate aims. Documentary evidence of a value for money review in respect of the implementation of pay, benefits and conditions of service approaches.

Self Assessment Questions

What evidence does the organisation have that its pay, benefits and conditions packages result in levels of recruitment, retention and employee turnover that meet corporate aims?

Model Documentary Evidence
Comparative benchmarking data on costs of providing services and consistency of service delivery.

Model Interview Evidence
HR Professionals and / or other relevant managers can describe the positive impact of changes to pay and conditions on the outputs and target achievement of at least three sections / departments in the Council.

What evidence does the organisation have that its approach ensures value for money arising from the pay, benefits and conditions of service packages it operates?

Model Documentary Evidence
Value for money review of pay, benefits and conditions of service.

Model Interview Evidence
HR Professionals and / or other relevant managers can describe how enhancements to pay, benefits and conditions of service have resulted in increased productivity, efficiency.

IMPROVEMENT REQUIRED   ☐ Yes   ☐ No   65
If Yes see Improvement Plan at end of Indicator 9 on Page 66

Model Report: Indicator 9 – Pay, Benefits and Conditions of Service
Level Achieved: 3   Operating at Level: 3+

- New City Council has pay, benefits and conditions of service that have been reviewed by the Inland Revenue in respect of minimum wage and an equal pay audit has been undertaken by an external specialist organisation.

- Both these reviews show a high level of compliance and any recommendations or action points have been addressed.

- Information to staff on pay and conditions is available in the Employee Handbook and on the Council intranet and is addressed at induction training for new staff.

- All staff interviewed were either aware of how their pay is calculated and what benefits and conditions of service they have and / or where they could get additional information on their pay, benefits and conditions of service.

- Interview evidence from a wide range of employees demonstrates that Best Value reviews and staff shortages in specific services have resulted in changes to pay and conditions.

- The managers of these services are able to describe how these changes in pay and conditions have resulted in increased applications for jobs and, more commonly, higher rates of retention.

- Increased pay has helped attract more staff to apply for professional jobs in building services and environmental health.

- Supporting additional training leading towards accredited qualifications has had a positive impact on the retention of part time staff in Leisure Services.

- Clerical staff turnover remains an area of difficulty for New City Council despite a similar initiative to Leisure Services being undertaken. In clerical staff exit interviews a number have indicated problems of working hours in the context of family commitments.

Improvement Plan Indicator 9 Pay Benefits and Conditions of Service

Objective:
Investigate the need for improved Work Life Balance approaches in retaining staff in clerical roles.

Actions / Initiatives
1.   HR Working Group to carry out an investigation of Work Life Balance issues particularly for clerical staff.

People Responsible and Resources Needed
Head of Human Resources to agree Terms of Reference for HR Working Group (to include frequency of meeting, timescale, clerical and professional support required).

Reporting Arrangements and Timescale
To be agreed in HR Working Group on Work Life Balance Terms of Reference.

Equality of Opportunity Human Resource Standards

Indicator 10 – Commitment to Equality

ESTABLISH/LEVEL 1	ASSESSED BY
The organisation has policies and procedures to ensure equality for its employees, applicants and service users. There are established communication systems in respect of equality issues. There is a programme of training on rights and responsibilities in respect of equality. Policies and procedures are reviewed regularly and equality proofed. The organisation has established monitoring systems in respect of equality.	Documentary evidence of equality policies and procedures that includes employees, applicants and service users in the context of human resources. Documentary evidence and interview confirmation by staff of communication systems in respect of equality, training for staff in equality; documentary evidence of review, equality proofing and monitoring procedures in respect of equality.

Self Assessment Questions

What policies and procedures does your organisation have that ensure equality for its employees, applicants and service users in the context of human resources?

Model Documentary Evidence
Equal Opportunities Policies and Procedures that cover employment, promotion, training, access to services (human resource services).

Model Interview Evidence
HR professionals can describe the comprehensive range of policies and procedures.

What communication systems has your organisation established in respect of equality issues?

Model Documentary Evidence
Communications strategy, including on equality issues.
Examples of targeted communications and training programmes on strategy.
Terms of Reference of consultative forums.

Model Interview Evidence
HR professionals describe communication processes for equality issues.
At least 80% of (relevant) staff interviewed from all jobs, locations and departments confirm the communication processes described by HR professionals and in documentary evidence.

IMPROVEMENT REQUIRED   ☐ Yes   ☐ No
If Yes see Improvement Plan at end of Indicator 10 on Page 77

What programmes of training on rights and responsibilities in respect of equality has your organisation given to its staff?

Model Documentary Evidence
Training programme content and handouts.

Model Interview Evidence
At least 80% of (relevant) staff interviewed from all jobs, locations and departments confirm that they have undertaken specific training on equality issues.

What process of equality proofing of policies and procedures does your organisation undertake?

Model Documentary Evidence
Equality proofing procedures
Section 75 screening and impact assessment procedures

Model Interview Evidence
HR professionals or other relevant managers describe the process of equality proofing undertaken and give examples that confirm a wide range of policies have been proofed.

What monitoring systems has your organisation established in respect of equality?

Model Documentary Evidence
Equality Monitoring Procedures

Model Interview Evidence
HR professionals or other relevant managers describe the monitoring undertaken in respect of equality of opportunity, how this information is gathered and analysed and reported.

IMPROVEMENT REQUIRED   ☐ Yes   ☐ No   68
If Yes see Improvement Plan at end of Indicator 10 on Page 77

Indicator 10 – Commitment to Equality

STRENGTHEN/LEVEL 2	ASSESSED BY
Staff can describe equality issues, rights and responsibilities. Targeted communication is undertaken in respect of equality issues. Staff have equality indicators, targets and personal performance plans. There is a regular (at least annually) evaluation and continual improvement of equality monitoring systems in consultation with representatives of staff and Section 75 equality groups.	Interview confirmation of communication on equality issues and staff can also describe the associated rights and responsibilities. Documentary evidence of annual or more frequent reviews of equality monitoring and improvement actions of human resource activities. Interview confirmation by staff representatives that consultation and review is on going.

Self Assessment Questions

How do you measure and evidence that staff can describe equality issues, rights and responsibilities?

Model Documentary Evidence
Briefing notes
Training programme content and handouts

Model Interview Evidence
At least 80% of staff interviewed from all jobs, locations and departments can describe their rights and responsibilities in respect of employment, promotion, fair treatment and training.

What targeted communication is undertaken in respect of equality issues?

Model Documentary Evidence
Minutes of Equality Forum meetings
Affirmative action reports
Changes in Codes of Practice

Model Interview Evidence
At least 80% of (relevant) staff interviewed from all jobs, locations and departments confirm that they have received targeted communications described by management.

IMPROVEMENT REQUIRED   ☐ Yes   ☐ No
If Yes see Improvement Plan at end of Indicator 10 on Page 77

69

How well are equality indicators and targets reflected in staff personal performance plans?

Model Documentary Evidence
Personal performance documents.
Briefing notes to those conducting performance reviews outlining the need to include equality indicators.

Model Interview Evidence
HR professionals and other managers describe the equality indicators (in respect of the provision of goods and services and treatment of staff) that are embedded in performance reviews.
At least 80% of staff interviewed from all jobs, locations and departments confirm that equality indicators are included in their performance indicators (in respect of provision of goods and services and treatment of staff).

What evaluation and improvement activities are undertaken in respect of equality monitoring?

Model Documentary Evidence
Article 55 Reviews and affirmative action plans.
Section 75 Reviews of equality policies.
Best Value reviews and reports on equality monitoring services.

Model Interview Evidence
HR professionals and / or other relevant managers describe the process of review in respect of equality monitoring.

How frequently do these occur?

Model Documentary Evidence
Article 55 Reviews and affirmative action plans.
Section 75 Reviews of equality policies.
Best Value reviews and reports on equality monitoring services.

Model Interview Evidence
HR professionals and / or other relevant managers describe the process of review in respect of equality monitoring.

IMPROVEMENT REQUIRED   ☐ Yes   ☐ No   70
If Yes see Improvement Plan at end of Indicator 10 on Page 77

Are staff representatives involved in reviews of equality monitoring of human resource activities and policies?

Model Documentary Evidence
Article 55 Reviews and affirmative action plans.
Section 75 Reviews of equality policies.
Best Value reviews and reports on equality monitoring services.

Model Interview Evidence
Trade union representatives confirm involvement in equality monitoring of human resource activities.

What Section 75 equality groups are consulted as part of these evaluations?

Model Documentary Evidence
List of Section 75 consultees

Model Interview Evidence
HR professionals and / or other relevant managers list consultees.

Indicator 10 – Commitment to Equality

STRATEGIC INTEGRATION/LEVEL 3	ASSESSED BY
Equality issues are linked directly to the strategic aims and objectives of the organisation. There are continually improving communication systems in respect of equality. The organisation uses examples of best practice in equality to ensure the quality of their approach. The results of equality monitoring inform the process of policy development and review.	HR professionals can describe the link between equality issues and corporate aims and objectives, improvements made to communication on equality issues and the external standards of good practice used to ensure the quality of the approach to equality.

Self Assessment Questions

What evidence is there that equality issues are reflected in the strategic aims and objectives of your organisation?

Model Documentary Evidence
Corporate / Strategic / Business Plans with equality related aims and objectives.

Model Interview Evidence
Senior managers describe how equality issues are reflected in the strategic aims and objectives of the organisation.

What evidence does your organisation have of continually improving communication systems in respect of equality?

Model Documentary Evidence
Examples of equality communications demonstrating improvements.
Reports on reviews of equality with recommendations for improvement.

Model Interview Evidence
HR professionals and / or other relevant managers describe the process of review and improvement in respect of equality communications.

IMPROVEMENT REQUIRED ☐ Yes ☐ No
If Yes see Improvement Plan at end of Indicator 10 on Page 77

What examples of equality/research best practice does your organisation use to ensure that its approach to equality of opportunity is appropriate?

Model Documentary Evidence
ECNI guidance and examples of good practice.
Local Government Staff Commission guidance and examples of good practice.
Benchmarking reports and comparative data in respect of equality issues.

Model Interview Evidence
HR professionals and / or other relevant managers describe the best practice standards used and changes made to procedures and approaches as a result.

How do the results of equality monitoring inform the process of policy development and review?

Model Documentary Evidence
Equality monitoring data
Article 55 Reviews
Affirmative Action Plans

Model Interview Evidence
HR professionals and / or other relevant managers are aware of changes in policies arising from equality monitoring information and its analysis.

IMPROVEMENT REQUIRED   ☐ Yes   ☐ No   73
If Yes see Improvement Plan at end of Indicator 10 on Page 77

Indicator 10 – Commitment to Equality

EVIDENCED BY THE FOLLOWING

OUTCOME MEASURES	ASSESSED BY
The impact of equality initiatives on organisational performance can be measured and demonstrated. Senior management can demonstrate how relationships with targeted groups have been improved. There are objective measures of improvements in services and in the whole organisation attributable to equality initiatives. Senior management can demonstrate how they measure the effectiveness of equality policies and procedures. Senior management can demonstrate how they measure the effectiveness of monitoring systems.	Documentary evidence of the impact of equality initiatives on organisational results. HR professionals can describe and provide supporting documentary evidence of improved relationships with targeted groups. Senior managers can describe how the effectiveness of equality policies and procedures are measured and give examples of improvements.

Self Assessment Questions

How does the organisation measure the impact of equality initiatives on its organisational performance (for example, through equality related key performance indicators or service user attitude surveys)?

Model Documentary Evidence
Corporate / Strategic / Business Plan aims and objectives.
Key Performance Indicators.
Specific questions in service user attitude surveys.

Model Interview Evidence
HR professionals and / or other relevant managers describe the process of measuring the impact of equality initiatives on results.

IMPROVEMENT REQUIRED ☐ **Yes**   ☐ **No**   74
If Yes see Improvement Plan at end of Indicator 10 on Page 77

What evidence does the organisation have of improved communications and / or relationships with targeted groups?

Model Documentary Evidence
Responses to consultation from targeted groups.
Letters / statements of satisfaction from targeted groups.

Model Interview Evidence
HR professionals and / or other relevant managers can give examples of improvements in communications and consultation with targeted groups.

What evidence does the organisation have of improved services attributable to equality initiatives (in the context of human resource activities)?

Model Documentary Evidence
Information on language, including sign language, services.
Information on improved access to human resource services, such as training, interview facilities.

Model Interview Evidence
HR professionals and / or other relevant managers and / or other relevant staff are able to give examples of improved access to human resource services and activities for groups previously excluded or who had difficulties of access (include any of the relevant Section 75 groups).

IMPROVEMENT REQUIRED   ☐ Yes   ☐ No   75
If Yes see Improvement Plan at end of Indicator 10 on Page 77

How does the organisation measure the effectiveness of equality policies and procedures?

Model Documentary Evidence
Information on key performance indicators in respect of equality, including measurement and monitoring of performance.
Affirmative action plans and reviews of those.
Article 55 Reviews.

Model Interview Evidence
HR professionals and / or other relevant managers can describe how the impact of equality policies and procedures is measured and monitored.

How does the organisation measure the effectiveness of equality monitoring systems?

Model Documentary Evidence
Information on key performance indicators in respect of equality, including measurement and monitoring of performance.
Affirmative action plans and reviews of these.
Article 55 Reviews.

Model Interview Evidence
HR professionals and / or other relevant managers can describe how the effectiveness of equality monitoring systems are evaluated.

Model Report: Indicator 10 – Commitment to Equality
Level Achieved: 0   Operating at Level: 1

- Evidence against this Indicator is very mixed. While there is clearly a high level of commitment to developing, consulting and proofing policies and procedures there are problems in communication.

- Approximately 55% of staff interviewed are unaware that the Council has equality procedures and what their rights and responsibilities are under those procedures.

- When asked how they would find out further information on these policies and procedures a large number of staff thought that an external body, such as the Equality Commission would be the only source of information.

- Most staff believe that New City Council is fair in its dealings with employees and service users.

- Most managers interviewed confirmed that equality issues are often addressed in general training programmes such as selection interviewing and appraisal.

- However, a significant number of managers did not confirm this and many of those were unsure about their responsibilities in respect of equality.

- Most managers interviewed would welcome further training and clarification on equality issues. A number expressed concern about the implications of recent changes in disability regulations.

Improvement Plan Indicator 10 Commitment to Equality

Objective:
To develop communication and training programmes that will ensure all staff are aware of their rights and responsibilities in respect of equality of opportunity.

Actions / Initiatives
1. Equality Unit to draft briefing and / or training programmes for all groups of staff.
2. HR Unit to organise training for managers arising from Equality Unit recommendations.

People Responsible and Resources Needed
Head of Equality Unit is responsible for drafting communications and training processes for agreement by senior management team.
HR Unit will be responsible for organising and delivering training programmes.
Additional training resources will be needed.

Reporting Arrangements and Timescale
Monthly report on progress by Equality Unit to senior management team.
Communication and training programmes to be completed by September _____

Indicator 11 – Equal Working Environment

ESTABLISH/LEVEL 1	ASSESSED BY
The organisation has established, implemented and communicated policies and procedures for a good and harmonious working environment free from all forms of discriminatory behaviour.	Documentary evidence of policies and procedures on working environment. Staff confirm at interview that management has communicated its policies on ensuring a harmonious working environment

Self Assessment Questions

What policies and procedures has your organisation established and implemented for a good and harmonious working environment free from all forms of discriminatory behaviour?

Model Documentary Evidence
Equal Opportunity polices and procedures.
Joint Declaration on harmonious working environment.
Harassment policy and procedures.
Discipline and Grievance procedures (reflecting working environment issues.)

Model Interview Evidence
HR professionals and / or other relevant managers can describe the range of approaches and procedures to ensure a good and harmonious working environment.

How has the organisation communicated these policies and procedures to staff, elected members and others?

Model Documentary Evidence
Briefing / information notes.
Training programme content and handouts.

Model Interview Evidence
HR professionals and / or other relevant managers can describe the steps taken to communicate policies and procedures.
At least 80% of staff interviewed from all jobs, locations and departments and elected members confirm having received communications on equality and providing a good and harmonious working environment.

IMPROVEMENT REQUIRED ☐ Yes ☐ No

If Yes see Improvement Plan at end of Indicator 11 on Page 82

Indicator 11 – Equal Working Environment

STRENGTHEN/LEVEL 2	ASSESSED BY
Policies and procedures for a good and harmonious working environment are consistently applied and taken up by staff.	Staff confirm that the working environment is harmonious and where relevant can give examples of actions taken by management to address issues of harassment or discriminatory behaviour.

Self Assessment Questions

How can you demonstrate consistency in the application of policies and procedures for a good and harmonious working environment?

Model Documentary Evidence
Review of operation of harmonious working environment policies and procedures.
Reports on management actions undertaken to promote a harmonious working environment.
Statistics and reports on the uptake and use of policies and procedures.

Model Interview Evidence
HR professionals and / or other managers can give examples of at least three actions undertaken to promote a good and harmonious working environment.
Staff interviewed consistently confirm a harmonious working environment. Relevant staff confirm actions described by management to promote a good and harmonious working environment.

How have you ensured that staff understand how to use these policies and procedures?

Model Documentary Evidence
Briefing notes
Training programme content and handouts
Details of dissemination process

Model Interview Evidence
HR professionals can describe the communication process for policies and procedures on working environment.
At least 80% of staff from all jobs, locations and departments confirm communication on Council policies and procedures.

IMPROVEMENT REQUIRED   ☐ Yes   ☐ No
If Yes see Improvement Plan at end of Indicator 11 on Page 82

Indicator 11 – Equal Working Environment

STRATEGIC INTEGRATION/LEVEL 3	ASSESSED BY
There is a process of continual improvement in policies and procedures for a good and harmonious working environment.	HR professionals and senior managers can give examples of continuous improvements in policies and in the reality of ensuring a harmonious working environment

Self Assessment Question

How does your organisation ensure continual improvement in its policies and procedures for a good and harmonious working environment?

Model Documentary Evidence
Reports on the review of the operation of policies and procedures on a good and harmonious working environment.
Article 55 reports and affirmative action measures associated with a good and harmonious working environment.

Model Interview Evidence
HR professionals can describe at least three initiatives / actions by management undertaken to improve working environment policies and procedures as a result of problems of implementation or changes in good practice guidance.
Relevant staff interviewed confirm changes in policies and procedures.

IMPROVEMENT REQUIRED ☐ Yes ☐ No   80
If Yes see Improvement Plan at end of Indicator 11 on Page 82

Indicator 11 – Equal Working Environment

EVIDENCED BY THE FOLLOWING
OUTCOME MEASURES   **ASSESSED BY**

The organisation can demonstrate how the policies and procedures contribute to a culture of respect, diversity and inclusion.	Monitoring statistics and other documentary evidence that demonstrate both diversity in the workforce and inclusion

Self Assessment Question

What evidence does your organisation have that the policies and procedures for a harmonious working environment contribute to a culture of respect, diversity and inclusion?

Model Documentary Evidence
Responses to specific questions in staff attitude surveys.
Employment monitoring data showing increases in diversity.

Model Interview Evidence
Staff interviewed from all jobs, locations and departments consistently confirm a culture of respect, diversity and inclusion.

IMPROVEMENT REQUIRED   ☐ Yes   ☐ No   81
If Yes see Improvement Plan at end of Indicator 11 on Page 82

Model Report: Indicator 11 – Equal Working Environment
Level Achieved: 3   Operating at Level: 3+

- New City Council has established policies and procedures with respect to an equal working environment and one that is harmonious and free from all forms of discrimination.

- These policies are based on good practice examples given by the Equality Commission and the Local Government Staff Commission.   They have been agreed with trade union representatives.

- Employees and elected members interviewed are aware of the importance of the working environment being fair and harmonious for all staff.

- A large number of those interviewed had received information / training on workplace bullying. All staff interviewed believe that the organisation has taken steps to ensure that the work place is free from discrimination and are aware that they can contact their line manager and / or human resources in confidence if they believe a problem of this sort exists.

- The recent training in workplace bullying is an example of how New City Council has reviewed and improved its approach to providing an equal working environment.

- Human resource professionals and senior managers are able to discuss improvements in the diversity of staff employed in a range of departments and services as a result of steps taken to reduce the chill factor in one location, how they have encouraged applications from both genders for particular posts as well as adaptations made for those with disabilities across a number of jobs.

Improvement Plan Indicator 11 Equal Working Environment

Objective:
To set up a formal review and improvement process in respect of providing an equal working environment.

Actions / Initiatives
1. Equality Unit to draft Terms of Reference and set up a Working Group of staff and trade union representatives to review and make recommendations on a range of equality issues including equal working environment.

People Responsible and Resources Needed
Head of Equality Unit responsible for drafting Working Group Terms of Reference.
Working Group member's time and clerical support needed.

Reporting Arrangements and Timescale
Head of Equality Unit to present Terms of Reference to senior management team by April
_____

Chair of Working Group to report quarterly (or at other agreed interval) on progress to senior management team.

Indicator 12 – Recruitment and Selection

ESTABLISH/LEVEL 1	ASSESSED BY
The organisation complies with recruitment and selection Codes of Practice including the best practice outlined in the Code of Procedures on Recruitment and Selection.	Documentary evidence and HR professionals can describe how the recruitment and selection complies with Equality Commission (ECNI) Codes of Practice.

Self Assessment Questions

How does your organisation ensure it complies with recruitment and selection Codes of Practice including training for interviewers (for example, Vacancies are advertised widely; Job descriptions and personnel specifications are drawn up for all vacancies; Interviewers receive appropriate training; Selection documentation is retained; All applicants are informed of the outcome of the selection process)?

Model Documentary Evidence
Council recruitment / selection policies and procedures.
ECNI Code of Practice on recruitment / selection.
Local Government Staff Commission guide on recruitment / selection.
Training programme for interviewers.

Model Interview Evidence
HR professionals can describe how recruitment and selection policies and procedures comply with ECNI Codes of Practice.
Those who have participated on interview panels can describe their training.

IMPROVEMENT REQUIRED ☐ Yes ☐ No

If Yes see Improvement Plan at end of Indicator 12 on Page 87

Indicator 12 – Recruitment and Selection

STRENTHEN/LEVEL 2	ASSESSED BY
The organisation assesses the impact of recruitment and selection procedures. The organisation has an agreed affirmative/positive action programme which includes goals and timetables. The recruitment process for all senior posts includes a professionally managed assessment centre.	Documentary evidence of the assessment of impact of policies and procedures on recruitment and selection and compliance with ECNI statutory reviews.

Self Assessment Question

How does your organisation assess the impact of recruitment and selection procedures?

Model Documentary Evidence

Monitoring information on applicants, shortlisted candidates and appointees for staff new to the Council and those who have been promoted.

What affirmative/positive action plans in recruitment and selection have been formulated by the Council?

Model Documentary Evidence

Article 55 Review and Affirmative Action measures.

Model Interview Evidence

HR professionals can describe improvements in the recruitment and promotion of targeted groups as a result of Affirmative/ Positive Action.

What use has the Council made of professionally managed Assessment Centres?

Model Interview Evidence

HR professionals can describe what Assessment centres are used, who manages them and the posts that they are used for.

IMPROVEMENT REQUIRED ☐ Yes   ☐ No   84
If Yes see Improvement Plan at end of Indicator 12 on Page 87

Indicator 12 – Recruitment and Selection

STRATEGIC INTEGRATION/LEVEL 3	ASSESSED BY
There is a regular (at least once per year) review and continual improvement of recruitment and selection procedures. The organisation has assessed its future recruitment and selection needs and has a plan in place to meet these.	Documentary evidence of review of procedures and changes to them.

Self Assessment Questions

What evidence does the organisation have that it reviews and continually improves its recruitment and selection procedures?

Model Documentary Evidence
Monitoring information on applicants, shorted candidates and appointees for staff new to the Council and those who have been promoted.
Article 55 Review and Affirmative Action measures and the results of those measures.

Model Interview Evidence
HR professionals can describe action taken and the results of that action to improve recruitment and selection procedures, particularly where monitoring has identified disadvantage for a particular group.
At interview relevant staff (who have participated as service receivers or in the delivery of the service) confirm the actions described by HR professionals.

How has the organisation assessed its future recruitment and selection needs and what plans have been formulated to meet these?

Model Documentary Evidence
Forward organisational recruitment and selection plan.
Succession Plan.

Model Interview Evidence
HR professionals can describe forward plans for the recruitment and selection of staff and how these will meet organisational needs.

IMPROVEMENT REQUIRED ☐ Yes ☐ No 85
If Yes see Improvement Plan at end of Indicator 12 on Page 87

Indicator 12 – Recruitment and Selection

EVIDENCED BY THE FOLLOWING

OUTCOME MEASURES	ASSESSED BY
Senior management can demonstrate that the organisation has a diverse workforce through effective recruitment and selection procedures.	Documentary evidence of diverse workforce from monitoring information or other sources.

Self Assessment Question

What evidence does your organisation have that its recruitment and selection procedures have contributed to a diverse workforce?

Model Documentary Evidence
Workforce monitoring data.

Model Interview Evidence
HR professionals can describe examples of improvements to the diversity of the workforce and the action taken to bring this about.

Model Report: Indicator 12 – Recruitment and Selection

Level Achieved: 2   Operating at Level: 3

- New City Council has well established recruitment and selection procedures based on the Equality Commission Codes of Practice and Local Government Staff Commission guidance.

- These procedures have been the subject of a number of Article 55 (or similar) reviews.

- There is considerable evidence of improvements in the diversity of staff particularly in terms of community background, gender and disability.

- This impact has been on both applications and appointments. These have been the subject of goals and targets (that have been largely achieved) and successful affirmative action measures.

- All those interviewed (both staff and elected members) who have participated in recruitment and selection panels have received training in their roles and responsibilities in respect of equality of opportunity.

- Other staff and trade union representatives interviewed also believe that the Council has made genuine attempts to ensure its recruitment and selection procedures are fair to all concerned and to attract applicants from as wide a range of backgrounds as possible.

- Recruitment and selection procedures are reviewed every three years as part of the Article 55 Review.

- The Council is considering the use of an externally run Assessment Centre for the appointment to a Director position that will become vacant due to retirement in the next three months

Improvement Plan Indicator 12 Recruitment and Selection

Objective:
To set up an annual improvement process in respect of recruitment and selection procedures.

Actions / Initiatives
1. Equality Unit to review current approach to the review of recruitment, selection, promotion and training and develop an annual review and improvement process based on monitoring data.

People Responsible and Resources Needed
Head of Equality Unit is responsible for consulting with Head of Human Resources and trade union representatives and the drafting of an annual review and improvement process.

Reporting Arrangements and Timescale
Monthly report on progress by Head of Equality Unit to senior management team.

Indicator 13 – Equality of Access to Human Resource Services

ESTABLISH/LEVEL 1	ASSESSED BY
The organisation complies with legislation and associated Codes of Practice in relation to Equality of Access to HR Services.	Documentary evidence of equality of access policies and procedures. HR professionals can describe how policies and procedures comply with statutory requirements.

Self Assessment Question

How does your organisation ensure that it complies with legislation and associated Codes of Practice in respect of equality of access to employment, information, locations, promotion, training etc?

Model Documentary Evidence
Equality policies and procedures.
Access policies and procedures (for example, those associated with disability, work life balance, part time working, and language).
ECNI Codes of Practice on access.

Model Interview Evidence
HR professionals describe how their access policies and procedures comply with ECNI Codes of Practice.

IMPROVEMENT REQUIRED   ☐ Yes   ☐ No   88
If Yes see Improvement Plan at end of Indicator 13 on Page 92

Indicator 13 – Equality of Access to Human Resource Services

STRENGTHEN/LEVEL 2	ASSESSED BY
Equality of Access policies and procedures are consistently applied, implemented and reviewed across the organisation's departments, services and locations.	Documentary evidence of equality of access requirements within the policies and procedures of all departments and services. Documentary evidence of the implementation of equality of access policies and procedures across all departments, services and locations and of improvements made as a result

Self Assessment Question

What evidence is there that equality of access policies and procedures are applied and implemented consistently across your organisation's departments, services and locations?

Model Documentary Evidence
Monitoring information on the implementation of access policies and procedures.
Reports on the implementation of access policies and procedures.

Model Interview Evidence
HR professionals and / or other relevant managers describe action taken to improve access to locations and services (for example, interviews, computers and training) for staff and applicants for jobs.
Staff from all jobs, departments and locations consistently confirm the implementation of access policies and procedures.

IMPROVEMENT REQUIRED   ☐ Yes   ☐ No   89
If Yes see Improvement Plan at end of Indicator 13 on Page 92

Indicator 13 – Equality of Access to Human Resource Services

STRATEGIC INTEGRATION/LEVEL 3	ASSESSED BY
There is a regular (at least once per year) review and continual improvement of equality of access procedures and actions.	Documentary evidence of at least annual review and improvements of access to locations and services. Managers can quote examples of improvements in access.

Self Assessment Questions

What evidence does your organisation have that it reviews and continually improves its equality of access procedures and actions?

Model Documentary Evidence
Review reports and action plans for equality of access.

Model Interview Evidence
HR professionals can describe a process of review and improvement in equality of access.
At least 80% of managers interviewed report / confirm improvements in access for at least one group of staff / applicants.

How frequently are reviews of equality of access procedures undertaken?

Model Documentary Evidence
Review reports and action plans for equality of access.

Model Interview Evidence
HR professionals describe at least an annual review process for equality of access procedures.

IMPROVEMENT REQUIRED ☐ Yes ☐ No

If Yes see Improvement Plan at end of Indicator 13 on Page 92

Indicator 13 – Equality of Access

EVIDENCED BY THE FOLLOWING

OUTCOME MEASURES	ASSESSED BY
Senior management can demonstrate equality of access through all human resource policies and procedures.	At interview senior managers can describe improvements in equality of access to locations and services and the link between action taken with regards to this and the achievement of corporate objectives

Self Assessment Question

What evidence does the organisation have of continuously improving equality of access as a result of its human resource policies and procedures?

Model Documentary Evidence

Review reports and action plans for equality of access and measurement of outcomes of those action plans.

Corporate / Strategic / Business plan aims and objectives associated with diversity and / or equal access.

Model Interview Evidence

HR professionals can give examples of how improvements in equality of access have helped the Council meet one or more of its goals / targets / key performance indicators.

IMPROVEMENT REQUIRED ☐ Yes ☐ No

If Yes see Improvement Plan at end of Indicator 13 on Page 92

Model Report: Indicator 13 – Equality of Access

Level Achieved: 1   Operating at Level: 2

- The Council has developed equality of access policies and procedures in respect of its locations and services.

- These have been agreed with trade union representatives and have been the subject of Section 75 consultations.

- The policies and procedures have been proofed by an external organisation specialising in offering consultancy services of this kind.

- An audit of services and locations was undertaken nine months ago in respect of equality of access.

- This included the access of staff to employment and human resource services as well as addressing wider issues in respect of service users and ratepayers.

- A detailed Action plan was drawn up based on this audit and approximately 80% of the actions are now completed.

- A Working Group comprising staff from all departments and trade union representatives is responsible to the Chief Executive for completing this work.

- There are still a number of services and locations where access is not at a satisfactory level. In the context of employment there have been some difficulties making arrangements for applicants with disabilities and some working locations continue to have access problems for staff with disabilities.

Improvement Plan Indicator 10 Commitment to Equality

Objective:
To implement equality of access policies and procedures consistently across all locations, departments and services.

Actions / Initiatives
1. Continue the work of the Equality of Access Working Group in implementing the Equality of Access Audit Action Plan.

People Responsible and Resources Needed
Head of Equality Unit and Equality of Access Working Group.
Additional training resources for building adaptations and the provision of support services (for example sign language, Braille and foreign language interpretation) are needed.

Reporting Arrangements and Timescale
Monthly report on progress by Equality of Access Working Group to senior management team.
Completion of Action Plan actions by October _____

Learning and Development Human Resource Standards

Indicator 14 – Developing Strategies and Plans for Learning and Development

ESTABLISH/LEVEL 1	ASSESSED BY
There are policies and procedures to ensure the effective induction of staff and elected members into the organisation, into new roles, and with respect to health and safety. There is a defined budget, or a number of departmental budgets, for learning and development. Planning for learning and development is on the agenda of senior management meetings. Learning and development plans are communicated to staff and elected members.	Documentary evidence of induction and health and safety training of new staff and elected members and of staff who take on new job roles. Interview confirmation of this training by staff who have joined the organisation or changed jobs in the last two years and from elected members who have joined the Council for the first time at the last Council Elections. Documentary evidence of the budget for learning and development at organisation and if appropriate departmental levels; documentary evidence that learning and development is a regular (at least three times per year) agenda item at senior management meetings. At interview staff and elected members are able to describe what training is planned for them and this is supported in the documentary evidence.

Self Assessment Questions

What policies and procedures has your organisation formulated to ensure the effective induction of staff and elected members into the organisation and into new roles?

Model Documentary Evidence
Induction programmes at Corporate and departmental levels for new staff.
Job related training programmes and training checklists.
Induction programmes and training for Elected Members.

Model Interview Evidence
At least 80% of those new to the Council and those new to a job confirm that they have received induction and / or training.
Elected Members (particularly those elected in the last three – five years) confirm they have been given an induction into the role.
Elected Members confirm training in issues that are new to them.

What policies and procedures has your organisation formulated to ensure that all staff receive the information and training they need with respect to health and safety?

Model Documentary Evidence
Training programmes in health and safety.
Health and safety policies and procedures including risk assessments.
Reviews of health and safety and / or risk assessments.

Model Interview Evidence
At least 80% of staff interviewed confirm having received specific training on their health and safety responsibilities.

IMPROVEMENT REQUIRED   ☐ Yes   ☐ No
If Yes see Improvement Plan at end of Indicator 14 on Page 101

What budget(s) exists for learning and development?

Model Documentary Evidence
Training Plan budget.
Budget for learning and development included in general departmental or section budgets.

Model Interview Evidence
HR professionals and / or other relevant managers describe how learning and development activities are funded particularly where there are external costs incurred.

How frequently is learning and development an agenda item in senior management meetings?

Model Documentary Evidence
Senior management team minutes.

Model Interview Evidence
Senior managers consistently confirm the regularity of learning and development as an agenda item and that this is at least quarterly.

How are learning and development plans communicated?
- To staff?
- To elected members?

Model Documentary Evidence
Council / Departmental / Section Training Plans
Members Induction Plan
Personal Development Plans
Training programme prospectuses
Internet / intranet page
Information bulletins and / or memos

Model Interview Evidence
At least 80% of staff interviewed and all Elected Members confirm that they receive information on suitable training programmes with sufficient notice to make arrangements to attend.

IMPROVEMENT REQUIRED   ☐ Yes   ☐ No   94
If Yes see Improvement Plan at end of Indicator 14 on Page 101

Indicator 14 – Developing Strategies and Plans for Learning and Development

STRENGTHEN/LEVEL 2	ASSESSED BY
The organisation benchmarks its approach to learning and development and/or uses external quality standards, e.g. Investors in People, to ensure the quality of the approach. There are policies on using tools such as Personal Development Plans, competency frameworks and learning matrices, and on Continuing Professional Development. The learning and development budget has flexibility to respond to changing priorities. Flexible learning methods are available to meet the needs of staff with different learning styles and work patterns.	Documentary evidence of external benchmarking, for example, Investors in People Certificate or external benchmarking report. Written policies on use of tools and continuing professional development and documentary evidence of implementation. HR professionals can give examples of how the budget has been used flexibly to meet changing needs and of how flexible learning methods have been used to meet the staff needs.

Self Assessment Questions

What benchmarking activities (if any) does your organisation undertake in respect of its approach to learning and development?

Model Documentary Evidence
Benchmarking comparative data
Reports on good practice in learning and development

Model Interview Evidence
HR professionals describe a recent (within the last three years) process of external checking of its approaches to learning and development to ensure good practice.

What external quality standards (for example, Investors in People) for learning and development are used to ensure the quality of the approach to learning and development?

Model Documentary Evidence
Investors in People (or other learning and development standard) assessment and/or advisory reports.

Model Interview Evidence
HR professionals describe the use of external quality standards and how they have changed the approach to learning and development.

IMPROVEMENT REQUIRED   ☐ Yes   ☐ No
If Yes see Improvement Plan at end of Indicator 14 on Page 101

What policies on the use of learning and development tools (for example, Personal Development Plans, competency frameworks, learning matrices) have been formulated by your organisation?

Model Documentary Evidence
Personal Development Plans
Competency Frameworks
Learning Matrices

Model Interview Evidence
HR professionals describe the use of learning and development tools and the added value they have brought to learning and development activities or to the various sections / departments or the whole Council.

Has your organisation defined policies on Continuing Professional Development? ☐ Yes ☐ No

What flexibility does the learning and development budget have to respond to changing priorities?

Model Documentary Evidence
Revised budget plans.
Re-allocation of funds to meet changing needs.

Model Interview Evidence
HR professionals can give at least three examples in the last five years of how additional learning and development needs have been funded when they were not included in the start of year budget.

What flexible learning methods have been used/are available to meet the needs of staff with different learning styles and work patterns?

Model Documentary Evidence
Distance learning materials.
On line learning.
Training programmes offered at different times or in different formats to suit the needs of particular groups.

Model Interview Evidence
There is consistent confirmation by staff interviewed that the Council takes action to meet the learning and development needs of different groups and individuals. Staff are aware of who they should approach if they have difficulty in accessing learning and development.

Indicator 14 – Developing Strategies and Plans for Learning and Development

STRATEGIC INTEGRATION/LEVEL 3	ASSESSED BY
Learning and development are linked directly to strategic aims and objectives. Senior managers measure the effectiveness of learning and development strategies. There is a policy on lifelong learning. Planning and budgeting for learning and development include the future needs of staff and elected members. There is a people skills strategy. There is an organisational development strategy. Learning and development are integral to a Human Resources strategy for future staff resourcing.	Documentary evidence of the link between learning and development activities and strategic aims and objectives. Senior managers are able to describe the learning and development activities that underpin corporate objectives. Documentary evidence that the organisation has a policy on life long learning and a people skills strategy. Documentary evidence of planning and budgeting for future development needs of staff and elected members. HR professionals can describe how learning and development will contribute to future staff resourcing.

Self Assessment Questions

How well are learning and development reflected in strategic aims and objectives?

Model Documentary Evidence
Staff and elected member learning and development aims and objectives.
Strategic / Corporate / Business Plan.

Model Interview Evidence
Senior managers can describe the learning and development activities that underpin corporate aims and objectives.

How does your organisation ensure that it measures the effectiveness of its learning and development strategies and actions?

Model Documentary Evidence
Training Plan documents.
Plans for initiatives that show the role of learning and development in achievement.

Model Interview Evidence
Senior managers and HR professionals can consistently describe how the planning for learning and development is an integral part of the Council's planning process.

IMPROVEMENT REQUIRED   ☐ Yes   ☐ No
If Yes see Improvement Plan at end of Indicator 14 on Page 101

Does your organisation have a policy on lifelong learning?   ☐ Yes ☐ No

How well does planning and budgeting for learning and development take account of the future needs of staff and elected members?

Model Documentary Evidence
Corporate / Strategic Plans that cover a 3 – 5 year (or longer) period that include longer term development needs of staff and elected members.
Life long Learning policies and procedures.

Model Interview Evidence
Senior managers and HR professionals can consistently describe a formal process where possible future development needs of staff are considered.

Does your organisation have a people skills strategy?   ☐ Yes ☐ No

Does your organisation have an organisational development strategy?   ☐ Yes ☐ No

How well are learning and development integrated into the Human Resources strategy for future staff resourcing?

Model Documentary Evidence
Future Staff Resourcing or Succession Plan or Strategy.
Human Resource Strategy.

Model Interview Evidence
HR professionals and senior managers can consistently describe how the long terms needs of the Council for staff to have specific knowledge, skills and attitudes have been planned.

IMPROVEMENT REQUIRED   ☐ Yes   ☐ No   98
If Yes see Improvement Plan at end of Indicator 14 on Page 101

Indicator 14 – Developing Strategies and Plans for Learning and Development

EVIDENCED BY THE FOLLOWING

OUTCOME MEASURES	ASSESSED BY
Learning and development strategies are communicated throughout the organisation.	Documentary evidence of how the organisation assesses the impact of learning and development activities on organisational results.
The organisation assesses the impact of learning and development initiatives on organisational results.	Documentary evidence of how resources for learning and development are allocated. HR professionals can describe and staff from all departments and services, confirm how learning and development opportunities are
There is a clear people development plan to achieve organisational goals and strategies.	communicated. The corporate strategy document and senior managers confirm that learning and development are major elements.
Learning and development plans are included in the corporate strategy and the necessary resources are allocated to achieve the plans.	Documentary evidence of a people development plan to achieve the organisation's goals and strategies.

Self Assessment Questions

How are learning and development strategies communicated?

Model Documentary Evidence
Employee Handbook
Briefing notes
Internet / intranet site

Model Interview Evidence
HR professionals describe a consistent process of communication of learning and development entitlements and opportunities.

What evidence is there of the effectiveness of the communication of learning and development strategies across the whole organisation?

Model Documentary Evidence
Information on uptake of learning and development opportunities across all departments and services.

Model Interview Evidence
At least 80% of staff interviewed from all jobs, locations and departments confirm that they have received information on learning and development strategies.

IMPROVEMENT REQUIRED ☐ Yes   ☐ No
If Yes see Improvement Plan at end of Indicator 14 on Page 101

What evidence does the organisation have that its learning and development activities are having an impact on organisational results?

Model Documentary Evidence
Reviews of corporate / strategic / business plans.
Council and team level reviews of learning and development.

Model Interview Evidence
Senior managers consistently describe the impact on learning and development on aims and objectives in terms of compliance, improvement, change and service development.

What evidence does your organisation have that it has a clear people development plan (or plans) to achieve organisational goals and strategies?

Model Documentary Evidence
People Development Plan(s).
Reviews of People Development Plan(s) impact.

Model Interview Evidence
HR professionals and senior managers can consistently describe the main focus of people development plans and strategies and their impact on the Council.

How well is learning and development reflected in the corporate strategy?

Model Documentary Evidence
Corporate Strategy.

Model Interview Evidence
Chief Executive and senior managers can consistently describe the role and purposes of people development at a strategic level.

How are resources allocated to learning and development (for example in the corporate plan)?

Model Documentary Evidence
Corporate / Strategic / Business Plan, budget section, learning and development section.

Model Interview Evidence
HR professionals and senior managers are aware of the broad costs and budget allocation for learning and development.

IMPROVEMENT REQUIRED ☐ Yes ☐ No

If Yes see Improvement Plan at end of Indicator 14 on Page 101

Model Report: Indicator 14 – Developing Strategies and Plans for Learning and Development

Level Achieved: 0   Operating at Level: 1

- The Council has well developed staff training and induction policies and procedures. These include job related learning and development, career development approaches and procedures for supporting personal development.

- There is a defined budget for learning and development that is part of the HR Unit's budget. This includes the training generated centrally such as management development and information technology as well as Council support for professional development, career development and personal development requests.

- In addition, all departments have additional funds for training and development embedded within their own budgets. Learning and development is a standard item at the meetings of the senior management team and the Development Committee considers all matters concerned with staff learning and development.

- All staff are aware of the range of development opportunities open to them and discuss their needs at least once per year with their line manager.

- Interview responses indicate that induction and health and safety training are given consistently and many staff at interview drew favourable comparisons with training given by the Council and what they had received from other employers.

- Elected members training is less well catered for. There is an initial induction programme at the start of a new Council that is open to all members. Otherwise learning and development only occurs when it is organised and promoted by an external body such as the Local Government Staff Commission for matters such as recruitment and selection.

- Elected members and Officers interviewed expressed concern about the lack of development opportunities and the impact that this is having on Council operation.

Improvement Plan Indicator 14   Developing Strategies and Plans for Learning and Development

Objective:

To develop and implement a process to identify and meet the needs of elected members.

Actions / Initiatives

1. Set up an Elected Members Learning and Development Working Group comprising elected members and a representative for each Council department to carry out an elected members Training Needs Analysis.
2. Develop policies, procedures and a planning, implementation and review process in respect of elected members.

People Responsible and Resources Needed

Head of Human Resources and Chair of Development Committee.

No additional resources required at present. Funding will be required for elected members learning and development.

Reporting Arrangements and Timescale

Monthly report on progress by Head of Human Resources to senior management team and to Development Committee.

Completion of Training Needs Analysis by January _____

Indicator 15 – Implementing Learning and Development

ESTABLISH/LEVEL 1	ASSESSED BY
Learning and development needs are identified through a formal process. Learning opportunities are provided to enable staff and elected members to perform effectively. Responsibility is given to one or more staff for sourcing, monitoring and advising managers on learning and development.	Staff and elected members confirm at interview that they are given learning opportunities to perform effectively. The relevant individual(s) confirms his/her responsibility for sourcing, monitoring and advising managers on learning and development.

Self Assessment Questions

What formal processes does the organisation have to identify learning and development needs?

Model Documentary Evidence
Performance management / appraisal documents
Personal Development Plans
Training Plan
Corporate / Strategic / Business Plans
Human Resource Strategy

Model Interview Evidence
HR professionals and at least 80% of managers interviewed can describe (at a level appropriate to their role) a process of learning needs identification for individuals, teams and the whole Council.

How well do the learning opportunities provided enable staff and elected members to perform effectively?

Model Documentary Evidence
Training spends on individuals and teams.
Minutes of meetings of learning and development review group.
Appraisal documents (showing impact of learning and development).

Model Interview Evidence
At least 80% of staff from all jobs, departments and locations interviewed can describe improvements in performance at team and / or individual level as a result of learning and development activities.

Who in your organisation has responsibility for sourcing, monitoring and advising managers on learning and development issues?

Model Documentary Evidence
Job Description of (for example) Training Officer.

Model Interview Evidence
HR professionals can describe the role and responsibilities of the individual(s) responsible for sourcing, monitoring and advising managers on learning and development.
At least 80% of managers interviewed confirm that they receive support and advice on learning and development.

IMPROVEMENT REQUIRED ☐ Yes ☐ No 102
If Yes see Improvement Plan at end of Indicator 15 on Page 107

Indicator 15 – Implementing Learning and Development

STRENGTHEN/LEVEL 2	ASSESSED BY
Policies and practices are in place to meet identified needs for staff and elected members. Managers accept their responsibilities for staff learning and development and have the appropriate knowledge and skills. There is joint (manager/staff) responsibility for learning and development processes such as Personal Development Plans.	Documentary evidence of polices and practices to identify the learning and development needs of all staff and elected members and their implementation. At interview managers acknowledge their responsibilities to develop staff and confirm that they have received training and/or support needed to meet these responsibilities. Documentary and interview evidence from both managers and staff of joint responsibility for learning and development.

Self Assessment Questions

What policies and practices are in place to meet identified learning and development needs of staff and elected members?

Model Documentary Evidence
Training and Development Policies and Strategy.
Post Entry / Life Long Learning Training Strategy and procedures.
Elected Member Training policy and procedures.

Model Interview Evidence
HR professionals can describe the policies and procedures to meet the identified needs of staff and elected members.

How well do managers accept their responsibilities for staff learning and development?

Model Documentary Evidence
Records of completion of performance management procedures, personal development plans, training requests and evaluations of training.
At least 60% of positive responses in answer to specific questions in Staff Attitude Surveys.

Model Interview Evidence
At least 80% of managers and staff interviewed from all jobs, locations and departments confirm a commitment from managers to the learning and development of those for whom they have responsibility.

IMPROVEMENT REQUIRED   ☐ Yes   ☐ No 103
If Yes see Improvement Plan at end of Indicator 15 on Page 107

What steps has your organisation taken to ensure that managers have the knowledge and skills needed to support staff learning and development?

Model Documentary Evidence
Management Development training programme content and handouts including those for performance management, training for trainers, training needs identification.

Model Interview Evidence
At least 80% of managers interviewed confirm that they have discussed their own training needs with their line manager in respect of a manager's responsibility for the learning and development of his / her staff and that any identified needs have been met.

What evidence is there that there is joint (manager/staff) responsibility for learning and development processes (such as Personal Development Plans)?

Model Documentary Evidence
Personal Development Plans or equivalent.

Model Interview Evidence
At least 80% of both managers and staff interviewed confirm a joint responsibility for learning and development.

IMPROVEMENT REQUIRED ☐ Yes ☐ No   104
If Yes see Improvement Plan at end of Indicator 15 on Page 107

Indicator 15 – Implementing Learning and Development

STRATEGIC INTEGRATION/LEVEL 3	ASSESSED BY
The organisation provides developmental opportunities that include all staff and elected members. Learning and development activities are designed to contribute to continuous improvement and the achievement of corporate goals. Organisational development activities are designed to contribute to the achievement of corporate goals.	Staff and elected members confirm at interview that they have been given development opportunities. Senior managers can give examples of how learning and development and organisational development activities have contributed to continuous improvement and the achievement of corporate goals.

Self Assessment Questions

How well does your organisation provide developmental opportunities that include all staff and elected members?

Model Documentary Evidence
Training Plans.
Information on uptake of learning and development activities.
Circulation lists for prospectuses and / or learning and development activities.

Model Interview Evidence
At least 80% of staff and all elected members interviewed confirm that they have access to the learning and development they need for their responsibilities and that they are treated fairly in respect of this.

How does your organisation ensure that learning and development activities contribute to continuous improvement?

Model Documentary Evidence
Reports from Business Improvement teams.
Best Value reviews and reports.

Model Interview Evidence
Service managers can consistently describe the role of learning and development in service improvement activities.

How does your organisation ensure that organisational development activities contribute to the achievement of corporate goals?

Model Documentary Evidence
Review of Corporate / Strategic / Business Plans.

Model Interview Evidence
The Chief Executive and senior managers can describe the impact of learning and development on corporate activities such as equal opportunities, health and safety and IT.

IMPROVEMENT REQUIRED   ☐ Yes   ☐ No   105
If Yes see Improvement Plan at end of Indicator 15 on Page 107

Indicator 15 – Implementing Learning and Development

EVIDENCED BY THE FOLLOWING
OUTCOME MEASURES

ASSESSED BY

Learning and development are integral to the performance of individuals, teams and the organisation. The staff profile matches the organisation's staffing needs. Staff and elected members are willing to participate in learning and development.	Managers throughout the organisation can give examples of the contribution of learning and development to their staff's performance and to service improvements. Senior managers can give examples of learning and development action taken to match the staff profile to the changing needs of the organisation. Staff and elected members confirm their willingness to participate in learning and development activities.

Self Assessment Questions

What evidence do you have that learning and development are integral to the performance of individuals, teams and the organisation?

Model Documentary Evidence
Individual, Team and Council wide reviews of the impact of learning and development on performance.

Model Interview Evidence
At least 80% of all managers interviewed consistently describe performance improvements among both them and their staff as a result of learning and development activities.

What evidence can you give of learning and development that has addressed an organisational skills gap?

Model Documentary Evidence
Best Value report
Improvement report
Review of Corporate / Strategic / Business Plans

Model Interview Evidence
HR professionals and / or other managers can describe an organisational skills gap that has been filled through learning and development activity and the steps needed to do this.

What evidence can you give of improvements in the willingness of staff and elected members to participate in learning and development?

Model Documentary Evidence
Training participation lists

Model Interview Evidence
At least 80% of staff and all elected members interviewed confirm their willingness to participate in learning and development activities.

IMPROVEMENT REQUIRED ☐ Yes ☐ No
If Yes see Improvement Plan at end of Indicator 15 on Page 107

Model Report: Indicator 15 – Implementing Learning and Development
Level Achieved: 1   Operating at Level: 2

- The Training Officer reviews Council and Departmental Plans along with completed appraisal forms and requests from managers.

- Based on this an annual Training Plan is drafted in April of each year.

- This draft Training Plan is circulated for comment to Heads of Departments and Units as well as being submitted to elected members in the Development Committee.

- As a result of their comments adjustments are incorporated into the Training Plan and this is agreed by the full Council usually in May of each year.

- The Training Officer organises external training, advises managers on training matters and monitors the plan implementation including costs and uptake.   This is reported to the senior management team quarterly and to Council annually.

- The appraisal process is the main means by which individual needs are met. Completion of this is not consistent in the organisation.

- The larger departments (technical services and leisure services) in particular have difficulty in completing this. Staff in these departments typically state that they do not have their development discussed or met.

- Elsewhere, employees generally do have opportunities to discuss and agree their development needs.

- Elected members do not have any formal or informal process by which their development needs are identified or planned.

Improvement Plan Indicator 15 – Implementing Learning and Development

Objective:
To review the appraisal process and ensure that there is a consistent learning and development needs identification and planning for all employees and elected members.

Actions / Initiatives
1. Communications Group to review the approach to appraisal and learning needs identification.
2. Communications Group recommendations to be submitted for consideration by Head of HR, Chief Executive and Council Development Committee.

People Responsible and Resources Needed
Chair of Communications Group is responsible for drafting report and submitting it for consideration.
Chief Executive and Council Development Committee are responsible for decisions on recommendations.
Head of Human Resources is responsible for implementation of recommendations.

Reporting Arrangements and Timescale
Communications Group to report by March _____
Head of Human Resources will report on implementation to the Development Committee monthly.

Indicator 16 – Evaluating the Impact of Learning and Development

ESTABLISH/LEVEL 1	ASSESSED BY
Objectives for learning and development are specified in advance and subsequently reviewed with the individual.	Documentary evidence of planning and review of learning and development objectives. At interview staff can describe the process of planning and review, confirm that it occurs consistently and can give examples of objectives set and reviewed following development.

Self Assessment Questions

Are objectives for learning and development specified in advance and subsequently reviewed with the individual?   ☐ Yes ☐ No

If yes, how does your organisation ensure that this happens?

Model Documentary Evidence
Training Planning Forms

Model Interview Evidence
At least 80% of staff from all jobs, locations and departments confirm that their training objectives are planned consistently either formally or informally before participating in learning and development activities and subsequently reviewed to ensure they have been achieved.

Indicator 16 – Evaluating the Impact of Learning and Development

STRENGTHEN/ LEVEL 2	ASSESSED BY
Objectives for learning and development are specified in advance and subsequently reviewed by the team and organisation. Outcomes of learning and development impact on organisational performance. Value for money is ensured through, for example, cost benefit analysis.	Documentary evidence of team and organisational planning and review of learning and development objectives. Managers can give examples of objectives set and the impact of learning and development on their achievement. Senior managers can give examples of the impact of learning and development on organisational performance. Documentary evidence of a review of value for money of learning and development activities.

Self Assessment Questions

Are objectives for learning and development specified in advance and subsequently reviewed by the team and organisation consistently?　　☐ Yes ☐ No

If yes, how does your organisation ensure that this happens consistently?

Model Documentary Evidence
Training Plans
Training and development programmes planned at team or organisational level with training objectives specified.

Model Interview Evidence
HR professionals and at least 80% of managers interviewed confirm that team and organisational objectives for learning and development are consistently specified before they and their staff participate in learning and development activities and subsequently reviewed to ensure they have been achieved.

How does your organisation measure the impact of learning and development on organisational performance?

Model Documentary Evidence
Appraisal documents
Training and Development review forms (where impact some time after development activities have been completed are reviewed).
Minutes of team meetings where learning and development are shared with other team members.

Model Interview Evidence
At least 80% of staff from all jobs, locations and departments describe a process of group review of team and organisational learning and development to ensure effective learning and implementation.

How does your organisation ensure that it gets 'value for money' in learning and development (for example, through carrying out cost benefit analysis, value for money survey)?

Model Documentary Evidence
Cost Benefit Analysis
Value for Money Survey
Best Value report on learning and development

Model Interview Evidence
Senior managers can consistently describe measurable benefits to the organisation that exceed costs of learning and development.

Indicator 16 – Evaluating the Impact of Learning and Development

STRATEGIC INTEGRATION/ LEVEL 3	ASSESSED BY
The outcomes of learning and development are reflected in how the organisation meets its strategic aims. Self-reviews of performance are carried out at individual, team and organisational levels**.	Senior managers can describe in detail the link between learning and development outcomes and the organisation meeting its strategic aims. Documentary evidence and confirmation at interview of self reviews of performance at individual, team, service and organisational levels across the organisation.

Self Assessment Questions

How well are the outcomes of learning and development reflected in how the organisation meets its strategic aims?

Model Documentary Evidence
Strategic Review including learning and development activities.
Training Award / EFQM submissions.

Model Interview Evidence
Senior managers including the Chief Executive can consistently describe how learning and development helps the organisation meet the strategic aims, objectives and targets described in Council plans.

What self-reviews of performance are carried out at individual, team and organisational levels?

Model Documentary Evidence
Self Reviews of performance that includes reflection on the impact of learning and development at individual, team and organisational levels.

Model Interview Evidence
At least 80% of staff interviewed from all jobs, locations and departments confirm that there are self reviews of performance that include reflection on the impact of learning and development at individual, team and organisational levels (confirmation is at a level appropriate to the employee's role in the Council).

IMPROVEMENT REQUIRED ☐ Yes ☐ No
If Yes see Improvement Plan at end of Indicator 16 on Page 114

Indicator 16 – Evaluating the Impact of Learning and Development

**EVALUATING THE FOLLOWING
OUTCOME MEASURES**

ASSESSED BY

The organisation achieves a return on investment from learning and development.	Documentary evidence and/or description by senior managers of the return on investment from learning and development.
The organisation measures changes in performance arising from learning and development activities.	Changes in the organisation that have arisen as a result of learning and development and of how customer/stakeholder satisfaction levels have been improved and measured.
Learning and development activities enhance the levels of customer and stakeholder satisfaction.	

Self Assessment Questions

What evidence does your organisation have that it achieves a return on investment from learning and development?

Model Documentary Evidence
Strategy review reports

Model Interview Evidence
Senior managers including the Chief Executive can consistently describe long term improvements in service levels that can be attributed to learning and development.

What evidence does your organisation have that there are changes in performance arising from learning and development activities?

Model Documentary Evidence
Review reports on key performance areas.

Model Interview Evidence
Service level managers can consistently discuss the impact of learning and development on their services.

What evidence does your organisation have that learning and development activities have led to increased customer/stakeholder satisfaction?

Model Documentary Evidence
Service user satisfaction surveys.
Reports on increased service uptake.

Model Interview Evidence
At least 80% of managers can describe and believe that there have been improvements in satisfaction levels with their service as a result of learning and development activities.

Model Report: Indicator 16 – Evaluating the Impact of Learning and Development
Level Achieved: 2   Operating at Level: 3

- New City Council has an evaluation process for all formal learning and development activities at the individual level.

- Following attendance at a training or development programme employees are asked to review the programme content and its likely impact on their job. The Training Officer ensures that this is carried out consistently.

- Interview evidence confirms that for less formal training managers ensure that there is at least an informal discussion of the benefits and impact of the training.

- The Training Officer carries out a review of learning and development undertaken against that planned in the Training Plan and reports on this to each Department, the senior management team and Council. This report seeks to identify the outcomes of training at team and individual level and includes a value for money review.

- The Training Officer ensures that all development programmes have clear objectives and that these are agreed between participants and their line managers prior to training being undertaken. Interview answers confirm a less formal but reasonably consistent process with respect to on the job training organised internally in departments and units.

- Self review of learning and development is not common particularly at team and organisation levels. Managers and other staff consider the reviews carried out by the Training Officer but most managers have difficulty describing the link between learning and development activities and changes and improvements in performance.

Improvement Plan Indicator 16 – Evaluating the Impact of Learning and Development

Objective:
To develop the review of learning and development activities currently carried out by the Training Officer to involve managers at all levels and throughout the Council.

Actions / Initiatives
    1   Identify a key person in each unit to take responsibility for the planning and review of learning and development.
    2   Develop a planning and review process for learning and development that is implemented by and owned by department and unit managers.

People Responsible and Resources Needed
The Training Officer has responsibility for identifying a 'Training Contact' in each Unit and for planning and reviewing elected members learning and development.
Training Contacts with the Training Officer have responsibility for agreeing and drafting the planning and review process. Process to be submitted to and agreed by the senior management team.
Each Unit Training Contact will have responsibility for the planning and review of learning and development in their own Unit.

Reporting Arrangements and Timescale
Training Contacts group formed by November _____
Process submitted for agreement by senior management team by January _____
First review by each Unit Training Contact to be completed by April _____